



Strategic Skills Initiative Research and ID Grant  
Cover Sheet

Economic Growth Region # 10 : "Southern Seven"

<b>1. Funding Request</b>			
<b>Requested: \$</b> 270,617.00		<b>Start Date:</b> 09/06/05	<b>End Date:</b> 02/21/06
<b>2. Designated Grantee</b>			
<b>Organization Name:</b> Southern Seven Workforce Investment Board, Inc.		<b>Telephone Number:</b> 812-944-7793	
<b>Address:</b> P.O. Box 6712		<b>Fax Number:</b> 812-944-4056	
<b>Address:</b> 3131 Grantline Road, Floor 2		<b>Email Address:</b> rm@south7work.win.net	
<b>City:</b> New Albany	<b>State:</b> Indiana	<b>Zip + 4:</b> 47151-6712	
<b>County:</b> Floyd	<b>FEIN:</b> 35-2148244		
<b>3. Contact Person</b>			
<input checked="" type="checkbox"/> <b>Mr.</b> <input type="checkbox"/> <b>Ms.</b> <input type="checkbox"/> <b>Dr.</b> <input type="checkbox"/> <b>Other</b>		<b>First Name:</b> Ron	<b>Last Name:</b> McKulick
		<b>Title:</b> Executive Director	<b>Telephone Number:</b> 812-944-7793
<b>Address:</b> P.O. Box 6712		<b>Fax Number:</b> 812-944-4056	
<b>Address:</b> 3131 Grantline Road, Floor 2		<b>Email Address:</b> rm@south7work.win.net	
<b>City:</b> New Albany	<b>State:</b> Indiana	<b>Zip + 4:</b> 47151-6712	
<b>Member:</b>	<b>Name</b>		
<b>Lead Team Members</b>			
<b>Name:</b>	<b>Industry:</b>	<b>Title:</b>	<b>Signature:</b>
Mike Ford	Healthcare	HR Director	
Kathy Clayton	Organized Labor	Director/LIFT	
Vicki Kellerman	Economic Develop.	Washington Cty. EGP Executive Dir.	
Urich DuFrene	Education	Dean-IU Southeast	
Paul Perkins	Advanced Mfg.	Amatrol Vice President	
Teresa Begley	Education	Dir.-Cont. Ed, Corp. Ivy Tech, Sellrbrg	
Robert Peacock	Economic Dev.	Executive Dir. Scott Cty. EDP	

**Strategic Skills Initiative (SSI)  
Economic Growth Region 10  
Research, Identification and Planning Grant Application**

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Strategic Skills Initiative Research, Identification and Planning Grant Application  
Economic Growth Region (EGR) 10  
**Executive Summary**

**A. EGR 10 has designed and structured an effective, well-rounded “plan to plan”** for its Strategic Skills Initiative (SSI) research and planning period, a six (6) month time period, ending Feb. 21, 2006 with the submission of a Cluster/Sector Solutions report and proposal for a two (2) year Solutions implementation period. Our Core Team has engineered the region’s SSI “plan to plan” with emphasis on:

1. Using a group of area resources and expertise to not only establish, but reinforce the “institutionalizing of the process” for the long term
2. Crafting adequate and reliable research and planning capacity to insure quality work, per SSI Memo #2, for example, in a timely manner
3. Area resources and expertise that provide credibility, competency and assurances of work quality in the “eyes” of the Core Team, related EGR community institutions, including local government, and cluster/sector employers
4. Regular and diverse opportunities for employers to engage in the research, planning and solution-building work
5. Opportunity for sector-based employee and worker input on shortages, root causes and possible solutions therein
6. Building employers’ engagement toward their functional and measurable investment, which “gets at” the crux of the shortages cause(s) and is borne out by appropriate Return-on-Investment (ROI) benefits data
7. Timeliness of each research and planning process and the report products

**B. The Core Team (consortia) “lead team” members are:**

- |                    |                              |  |
|--------------------|------------------------------|--|
| 1. Paul Perkins*   | Amatrol, Inc.                | Advanced Manufacturing   |
| 2. Mike Ford*      | Floyd County Hospital        | Life Sciences/Healthcare                                       |
| 3. Robert Peacock  | Scott County EDP             | Economic Development   |
| 4. Vicki Kellerman | Washington County EGP        | Economic Development   |
| 5. Teresa Begley   | Ivy Tech Community College   | Post-Secondary Education/Tr.<br>Cont. Education/Corp. Services |
| 6. Ulrich Dufrene* | Indiana University Southeast | Post-secondary Education/Tr.<br>School of Business             |
| 7. Kathy Clayton   | Labor Institute for Training | Organized Labor  |

\*Also connected with Southern Indiana Chamber of Commerce

**C. Involvement and input from Core/Lead Team members** has manifest in several ways, much to the Team’s credit. Each core Team member was contacted to request their participation on the Team. Each received an overview explanation of the SSI and the DWD web links to the initial packet and the Power Point presentation. Based on that orientation, the Core Team has had two (2) meetings (7/08/05 and 7/22/05). Members provided diverse and well-rounded inputs on the research and planning process, with an outlook to the solutions context. Members reviewed, critiqued and recommended revisions to both the task-timeline-resources chart (Attachment 1), and to a detailed budget, which was designed to demonstrate costs, per sequenced time period: the 1<sup>st</sup> six (6) months, Year 1 and Year 2. Notable inputs and discussion points have included:

1. The need for solid, readily available and prepared expert research resources,
2. Timeliness of work and product,
3. The importance of the employee’s view being integral to SSI research efforts,



4. The value of engaging employers in a variety of ways,
5. Solutions that incorporate the use and value of current statewide workforce investments, i.e. WorkKeys, KeyTrain and WIN, etc.,
6. An interest in preparing the future workforce to have the skills, competencies and behaviors necessary to succeed in sector-defined labor markets, and
7. The importance of emerging sectors in the region's economy, which may not exhibit current or short-term critical labor shortages, but will certainly evidence shortages in the longer term, if appropriate education and training resources are not proactively prepared.

**D. Funds Requested and Major Steps:** EGR 10, it's Core Agent, the Southern Seven Workforce Investment Board, Inc. and the Core Team formally requests \$270,617.00 for a) SSI Research and Planning, for the initial six (6) month period and b) Staffing for the 2.5 year SSI time period, both for the research and planning time period and the consequent two (2) year Solutions implementation time period. The major steps to be undertaken to complete the required SSI research and planning include:

1. Collaboration with the University to: a) perform all secondary data research, analysis, interpretation and presentation to various audiences and b) assistance in design and conducting of online employer surveying
2. Usage of data compiled, per the "front end" of the SSI Memo #2 methodology, ERISS Job Vacancy Survey findings, and updated data from the region's economic development strategic plan, with cluster analysis, published in January 2005, in order to determine the target SSI business/industry sector(s) for study and devising of solutions, with their investment as a key long term solutions component
3. Establishing a regional sector-based consortia and engaging employers therein through online surveying, focus groups, 1:1 interviews and sector summit/work sessions, using the Line-of-Sight approach in 1) identifying critical occupational and/or skills shortages, 2) determining and ranking "root cause(s)" for the shortages, and 3) devising sector solutions to then be implemented over the following two (2) year time period.
4. Surveying sector-based employees/workers to "get at" their views, concerns and inputs, as described in item #3.
5. Accessing one or more Solutions Best Practices experts to present to and guide the sector employer work group on devising, operationalizing, managing, improving and sustaining sector solutions: "A picture is worth a 1000 words."
6. Implementing a ground-level SSI work team that includes the University, WIB staffing, and an independent contractor to assist, on a limited, yet important basis. This work team will operate in collaboration with the Core lead team listed above in item "B" to accomplish all aspects of the SSI research and planning as described in the Work Statement, Budget Request, Activities and Schedule Chart and Attachment 1.
7. Resources will log, delineate and track the step-by-step methodology for completing their respective work. For example, the University staff will document it s methodology for the research it completes in a user-friendly guidance manner, such that staff, interns, and/or professionals may competently perform similar work in the future as part of another sector initiative.
8. The EGR 10 approach will utilize the technical assistance of Workforce Associates, Inc. on a regular 3-work phase basis, DWD webinars and data packets for the SSI and fully follow the prescribed methodology as stated in the SSI Memos, especially Memo #2.

Strategic Skills Initiative (SSI) Research, Identification and Planning Grant Application  
Economic Growth Region (EGR) 10  
**Work Statement**

EGR 10's SSI Research and Planning approach is designed to link proven, prepared and committed resources together and, thus, perform and complete the sequence of tasks, queries and research and Core Team/employer engagement specified in SSI Memo #2, dated 7/08/05. The Line-of-Sight sequence and dynamic will be imbedded throughout the work of staff and complementing resources so that:

- the process is institutionalized, including a) the research and "root cause" analysis components, and the critical methodology therein, and b) the related sector employer engagement and investment interest, via a credible Core (leadership) Team, and
- effective, systemic solutions are devised, grown operationally and sustained, benefiting the sector clearly in measurable Return-on-Investment (ROI) modes.

The key, detailed description regarding the "plan to plan" has developed through two (2) Core Team meetings (7/08/05 and 7/22/05) and related e-mail and phone communications, and the process presented in **Attachment 1**, with highlights as follows:

- This Attachment viewed the SSI Memo #2 content and sequential queries as the evolving, structured guide for each of the three (3) Research and Planning phases in terms of determining the work that needed to be performed, by who, i.e. what resources, by when, and with what outcomes, both in terms of a) data content and b) formatting for salient, user-friendly comprehension and decision-making.
- The Attachment also clarifies that, while there are sequential activity tracks, some tracks are occurring simultaneously in order to have the right tasks completed in a timely manner, given the importance of their consequent usage.
- The Attachment demonstrates the mix and collaboration of seasoned and acclimated staff with veteran expert resources, committed to workforce investment and the sector strategy SSI purpose. All work is handled via a work team, per phase, linked directly to the Core Team. The work team insures: a) adequate "quality resource" capacity, b) regular opportunities to "brainstorm" and then efficiently craft mechanisms and logistics, per phase, for more optimal outcomes, c) back-up and d) continuity operationally across the phases. Together, this operational diligence creates the "institutionalizing of the process" for the region's long term workforce development usage.

**A. Qualifications of Individuals:** The foundation of the work team consists of three (3) resources, each of which are cognizant of and acclimated to the work at-hand, each of which provides an expertise that complements the others, each of which is committed to the SSI purpose and its success in/for EGR 10. The resources are:

1. WIB staff director, Ron McKulick: Mr. McKulick is in his 5<sup>th</sup> year of Workforce Investment work, with a prior 20 years in the employment and training field, in front-line manufacturing work training, production management, sales and marketing, program development/operations in employment services, strategic planning, grant writing, project development and administration, as well as work in community development and housing. Along with a) WIA services contracting and over-sight and b) WorkOne chartering, continuous improvement and various site/system upgrades work via WIB staff overall, he has worked on regional workforce issues, linking them to/with education and economic development. Examples are provided:



- 1<sup>st</sup>-ever Regional employer Survey regarding employee skills needed now and needed in the future
- Regional strategic plan for workforce investment, with a 2 year plan implementation update completed in July 2005 (pdf. Plan update document to be sent to DWD in August 2005)
- Sector-based grants in healthcare, logistics, and machine tool/manufacturing
- Tiered training continuum model
- Labor Market Trends and Implications Presentations
- Workonesouthern7.com (<http://www.workonesouthern7.com>): the 1<sup>st</sup> regionalized, comprehensive online employment services system (job search, LMI, career exploration and information, etc.)
- Design participation in the bi-state Community Workforce Audit, which incorporates all of EGR 10. Go to the Kentuckiana Occupational Outlook website (<http://www.kentuckianaworks.org/outlook/>), recently updated and enhanced.
- Co-convenor of the bi-state Workforce Education Initiative, in conjunction with the Louisville WIB and Metropolitan College; an initiative now nearing the end of its second year.
- Participant and resource provider to the Workforce Education Task Force of Vision 2020 (<http://sicc.org>)
- **Building momentum for Sector Strategy work in the region, via the WIB's Incumbent worker Council. Please see Attachment 2, a March 2005 WIB meeting presentation handout. The Board, on March 30, 2005, approved "going forward" as an organization to explore, facilitate and establish sector initiative work in the region.**

The WIB director will work on the SSI Research and Planning Team twenty (20) hours per week on average in the first six (6) months of SSI work, and then twenty-five (25) hours and twenty (20) hours, per week on average, respectively in Year 1 and Year 2. This approach is deemed feasible given:

- Relatively fewer start-up and learning curve delays
- Fit with Board direction
- Decreased time allocated to other areas such as an Incumbent Worker Council, etc., based on changes in state requirements
- The other complementing team resources.

(As the Budget Request states, funds are available to adopt a different approach in the two (2) year Solutions implementation period, if needed; that is, a fulltime staff person can be hired and trained at that time to lead and "drive" the initiative for the longer term. This approach could actually serve to strengthen the "institutionalizing of the process", as the knowledge and know-how will be connected to several area resources, organizations and individuals.)

2. Indiana University Southeast (IUS) School of Business staff resources, principally Associate Professor, Dagny G. Faulk and Alan Jay White, Ph.D. Ms. Faulk has been the primary research contact and catalyst for much of the bi-state 23 county regional economy work; specifically, the southern Indiana counties within that commuter shed model, in conjunction with Dr. Paul Coomes. This background and the data available for regional "stakeholder" use cannot be overemphasized in terms of its distinctive value.



Dr. Coomes' work has been abundant and well accepted with significant impacts and influence on economic development, education, workforce development and area related public policy. Ms. Faulk's related background thus serves the region's SSI purpose in a uniquely beneficial way. **Attachment 4** provides the resumes of these respective researchers, as well as examples of regional research available through Dr. Coomes' and Associate Professor Faulk's work from the Louisville Economic Monitor (<http://monitor.cbpa.louisville.edu/>)

3. Jennifer Wilcox Consulting: Ms. Wilcox will provide ten (10) hours per week, on average, of additional SSI work in conjunction with each phase of SSI Research and Planning. Given her availability, expertise, area background in the broad operational realms of area/regional economic development, community development, workforce development, education and public policy, as well as her familiarity with the WIB, Ms. Wilcox will provide a "second (concise) set of eyes, competencies and objectivity throughout the course of the SSI, especially in the first six (6) months of research, identification and planning work. As well, she serves to further institutionalize the process in the region for the long term. This is evidenced by her resume and project experience listing, provided in **Attachment 7**.

In addition to this core work team, other resources are requested, each based on the expert qualification of the individuals (organizations):

- Thayr Richey, Strategic Development Group, Inc.: Facilitation of Cluster/Sector determination work session
- Walker Research: expert in surveying of employees in a given company and field
- Solutions Experts: Best Practices Success Examples, to be procured for the Solutions phase in early 2006.

**B. Initiative Coordination Across Current WIB Boundaries:** Factors that are designed to insure effective SSI coordination and responsiveness to all EGR areas include:

1. EGR 10 composition has kept the prior regional composition intact with the exception of Orange County. As such, Orange County is participating in the SSI as part of Region/EGR 8. Relevant area leader/stakeholder linkages and relationships in Region 10 also remain intact, with a minimum of new relationship-building needed. This benefit is evidenced by the composition of the Core Team. Per the Application cover Sheet:
  - 2 business/industry representatives:
    - a. Paul Perkins/Amatrol →Advanced Manufacturing, having regional (to international) corporate and school system clientele and participating as a member in the *Southern Indiana Chamber of Commerce's* Workforce Education taskforce.
    - b. Mike Ford/Floyd County Hospital →Healthcare, HR director, able to represent the regional healthcare industry, specifically area hospitals, and participating as a member in the *Southern Indiana Chamber of Commerce's* Workforce Education taskforce
  - Education:
    - a. Ulrich DuFrene, Indiana University Southeast (IUS): IUS serves individuals, businesses (Red Rock Economic Development Resource Center), community-based organizations, and community-based organizations, throughout EGR 10.
    - b. Teresa Begley, Ivey Tech Community College, which similarly serves individuals, business and industry and community-based organizations throughout EGR 10



- **Organized Labor:**

Kathy Clayton, Labor Institute for Training (LIFT), which serves business/industry and workers throughout Indiana. Ms. Clayton has been a highly committed WIB member in EGR 10 also, having chaired the WIB's Incumbent Worker Council.

- **Economic Development:**

Robert Peacock, Scott County and Vicki Kellerman, Washington County – each representing their respective county's economic development organization. These two organizations also participate in a broader Local Economic Development Officials (LEDO) network that includes Clark, Floyd and Harrison Counties.

2. This Core Team, along with WIB staffing (and ERISS Corporation Job Vacancy Survey data and DWD data), will connect more personally with the selected cluster/sector employers in any and all counties of EGR 10, due to their established contacts, networks, Chamber of Commerce linkages and other project initiatives. As a further example, the Core Team is currently considering an additional member that represents the middle and high schools in the region (12 school systems), given the importance they see in an SSI dimension potentially connecting with the "pipeline" approach of student career preparation, inclusive of applied learning and project-based learning on a regionally responsive basis.

**C. Specific Plans to Integrate Regional Sector and Industry Representatives in All Steps of the Research and Analysis Processes:**

Attachment 1 identifies the diverse approaches to employer involvement throughout the SSI 3-Phase course of 1) identifying critical occupations and both short-term and long-term shortages in a particular sector(s), 2) determining primary and other root causes for these shortages, and 3) devising and instituting solutions for mitigating or eliminating shortages, with area employer investment. Solutions should be long-term, systemic, fluid and adaptable, and optimal. As an overview of sector and industry representation, the following "means" are provided:

1. As soon as the cluster/sector has been carefully identified (in mid-September), letters of SSI introduction, with specificity to their sector, will be distributed to sector employers throughout the region. ERISS survey data will be quite helpful in quickly communicating with the right individual/contacts at each company. Phone call communications by the Core Team to targeted sector employers, based on Team member contacts, will also occur.
2. Sector employers will have opportunities to engage directly via online surveying, using a tool such as Survey Monkey.com. Surveying will cover, per phase:
  - The sector's critical occupations, short-term and long-term critical labor shortages, and input/assessments of the impacts on the industry of the shortages in certain jobs and/or skill sets are not effectively addressed.
  - Root Cause factors accounting for the shortages identified
  - General inputs on types of solutions and degree of interest in direct initiative investment, assuming measurable key benefits to the employers (and employees/workers).
3. Sector employers will have opportunities to engage in focus group activities that complement qualitatively the more quantitative online surveying approach. Focus groups will take place with the purpose of reviewing, elaborating on and refining shortages data and root cause data. At each focus group, data related to the meeting purpose will be





- presented by IUS work team members, with facilitation of the meeting by staff and/or independent contractor, as described in the Core work team statements and the SSI budget request (detailed justification).
4. Sector Summits: Two (2) Summits are proposed. The first is a "Root Cause" final analysis and factors ranking work session, with data presentations and interpretation by IUS, etc., followed by a facilitated discussion on the presumed and outright root causes for critical labor and/or skill shortages, and a consensus ranking of the factors. The second consequent Summit focuses on Sector Solutions Best Practices and Examples of Success presentation(s), followed by expert guidance on SSI solutions crafting in EGR 10. The Summit may include an initial mini-work session on Solutions.
  5. Sector employers will participate in 2 or more Solutions work sessions, inclusive of employer investment components: how much, what types, for how long, with what scope and level of integration with other investment and resources leveraged, and with what measurable expectation and benefit both short-term and long-term.
  6. Sector employers and industry representatives will also receive each Phase Report.
  7. Outcomes from each employer engagement activity, keeping a Line-of-Sight approach in mind, will be communicated electronically and/or in hard copy for employer review. It is acknowledged that some sector employers will participate regularly; others on a more occasional basis. With the latter, e-mail/fax outcomes information and follow-up phone contact will be utilized.

**D. Major Primary Research to be Performed:** Primary research will be integrated into the SSI planning strategy as follows:

1. Online primary data surveying will occur with employers at three (3) phase-points:
  - Identification of sector critical occupations, identification of short-term and long-term critical labor and/or skills shortages, and inputs/comments on industry impacts if labor and/or skills shortages are not effectively addressed.
  - Identification of the Shortages' "root cause" factors; ranking of their importance.
  - Inputs on sector solutions.
2. A sample of sector employers may be interviewed in a 1:1 manner, with resulting quantitative and qualitative data presented in the aggregate. Such interviews have been recognized as key initiative  $\longleftrightarrow$  employer interface points that "get at" employer issues and concerns in a relevant and concise manner, paving the way for concerted and focused Solutions action. Similarly, employer focus groups will occur, with qualitative data summarized and provided to the consequent work group.
3. Primary Data Surveying will occur with employees/workers in the sector "field" and, potentially, a sample of those who have left the field and students intending to enter the field.

In all cases, the purpose is to gain an informed and objective set of data, taking into account, overall, the key, balancing perspectives of both the sector employer and employees/workers. As such, it produces a more well-rounded approach to viable, sustainable and optimal sector solutions, with employer investment. Without both dimensions accounted for via research, less effective "solutions" might be devised and implemented.



See Attachment 1 for more detailed information. Attachment 1 developed for use with Core Team (mtgs. on 7/8 and 7/22)

**Attachment 16**

**Strategic Skills Initiative EGR #10 : "Southern Seven"**  
**Planning Activities and Schedule**

<b>Project Activity 1:</b> Identify key industries or key clusters, key to its economic growth and prosperity.	<b>Timeline:</b> 9/6 (earlier start preferred)—9/13/05	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) University School of Business c) Strategic Development Grp (SDG)/Thayr Richey d) DWD SSI Data Packets	<b>Effort/Work Hours:</b> a) 20 hrs. wkly. estimated b) 2 wks. Work/University c) 10-15 hours	<b>Product Produced (if applicable):</b> User-friendly data report based on SSI Memo #2 (SSIM2) Questions 1-4, and 21-22; IUS work and SSI data packets will assist in SDG work session below  Econ. Dev./Cluster Analysis Work session, facilitated by SDG, culminating in sector target decision; Guidance via SSIM2-Questions 5-8; SDG will provide summary session report
<b>Project Activity 2:</b> Drill down: Find key industries/ employers experiencing, or are projected to experience, shortages in critical occupations and skill. ID of individual establishments within the targeted industries	<b>Timeline:</b> Complete by 9/19	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) ERISS Corp. c) DWD SSI Data packets	<b>Effort/Work Hours:</b> a) 20 hrs. wkly. estimated b) Communic. w ERISS	<b>Product Produced (if applicable):</b> Sector employer listing: Company, contact name, title, phone, e-mail address, etc., based on SSIM2 Question 9
<b>Project Activity 3:</b> Specific occupations and skill sets in shortage will be identified and targeted for further study.	<b>Timeline:</b> Complete by 10/10/05	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent Contractor c) ERISS Corp. d) University	<b>Effort/Work Hours:</b> a) 20 hrs. wkly. estimated b) 10 hrs. wkly. estimated c) Job Vacancy	<b>Product Produced (if applicable):</b> SSI Intro. communication to Sector Employers  Online sector



		e) DWD SSI Data Packets	Survey available d) University work, fulltime in this phase, if needed	employer survey, based on SSIM2 Questions 10 & 15 and neg. impacts on sector queries: Findings and mini-report  1-2 Sector Employer Focus Groups to identify important occupations and shortages: Findings and Mini-Report  Existing data/research on sector shortages compiled: User-friendly data summary
<b>Project Activity 4:</b> Move from identification to quantification. Specific numeric estimates of projected occupational shortages; -near term (two years) -long-term (ten years).  Occupational and Skills Shortages Report Submitted to DWD/SSI Team	<b>Timeline:</b> Complete by 10/17 (Some overlap with Project Activity 3)	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent contractor c) University d) DWD SSI Data Packets	<b>Effort/Work Hours:</b> a) 20 hrs. wkly estimated b) 10 hrs. wkly estimated c) University work, fulltime in this phase, if needed d) Survey work daily until completed	<b>Product Produced (if applicable):</b> User-friendly summary on SSIM2 questions 11-15, 16, 19...  1-2 Sector Employer Focus Groups to critique and validate shortage findings: Findings and Mini-Report  <b>Shortages Report (to Core Team, Sector Employers, etc.)</b>
<b>Project Activity 5:</b> Compile and analyze existing secondary cluster-based data (National, state, regional, etc.) on causes of shortages	<b>Timeline:</b> 10/21-11/30/05	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent contractor c) University	<b>Effort/Work Hours:</b> a) 20 hrs. wkly estimated b) 10 hrs. wkly estimated c) University work, fulltime in this phase, if needed	<b>Product Produced (if applicable):</b> Summary Report on sector secondary data on related shortages



<b>Project Activity 6:</b> Primary Data Collection  Synthesize key findings from all existing primary data (Job Vacancy Survey; Reg. Study of Underemployment, etc.)	<b>Timeline:</b> 10/21— 11/30/05	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent contractor c) University	<b>Effort/Work Hours:</b> a) 20 hrs. wkly estimated b) 10 hrs. wkly estimated c) University work, fulltime in this phase, if needed	<b>Product Produced (if applicable):</b> Summary Report on recent related recent primary data
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<b>Project Activity 7:</b> Primary data gathering and, then, collection	<b>Timeline:</b> 10/21- 12/05/05	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent contractor c) University d) Research Firm	<b>Effort/Work Hours:</b> a) 20 hrs. wkly estimated b) 10 hrs. wkly estimated c) University work, fulltime in this phase, if needed d) Research firm—wkly. intense effort	<b>Product Produced (if applicable):</b> Summary report on mtgs. with cluster employers and/or sector associations or networks, and related sector employer online "Root Cause" surveying  Worker Survey, based, for example, on SSIM2 Questions 16-18, 20
<b>Project Activity 8:</b> Finalize IDing of Root Causes in rank order	<b>Timeline:</b> 12/9— 12/16/05	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent contractor c) University	<b>Effort/Work Hours:</b> a) 20 hrs. wkly estimated b) 10 hrs. wkly estimated c) University work, as needed	<b>Product Produced (if applicable):</b> SSI Core Team and Sector Consortia discussion summary  <b>Root Causes Report Submitted to DWD SSI Team</b>
<b>Project Activity 9:</b> Best Practices Solution guidance	<b>Timeline:</b> Complete by 1/10/06	<b>Staff Responsible &amp; Agency:</b> a) WIB staff b) Independent contractor c) University d) Sector Initiative Experts (1 or more who has succeeded)	<b>Effort/Work Hours:</b> a) 20 hrs. wkly estimated b) 10 hrs. wkly estimated c) University work, if needed d) 10-15 hours prep., presenting, summarizing; plus travel time	<b>Product Produced (if applicable):</b> Best Practices Presentation Product(s) to/w Sector Employers  Best Practices Work Session minutes/report



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Strategic Skills Initiative Research & ID Grant  
Line Item Budget Request

Economic Growth Region # 10 : "Southern Seven"

ITEM	AMOUNT REQUESTED
1. Staff Costs	\$120,358
2. Consultant Assistance	\$86,904
3. Travel Expenses	\$2500
4. Other Expenses	\$60,855
<b>TOTAL REQUEST</b>	<b>\$270,617</b>

- Staff Costs:** Prorated wages and benefit costs for that portion of time staff actively work on the project. Staff time charged to the project must be documented (i.e. time sheets).
- Consultant Assistance:** Costs for consultants assisting with the project. Include both consultant fees and expenses here. Please note that contracts for consultant services must meet all applicable state and local procurement requirements
- Travel Expenses:** Transportation (i.e. mileage), lodging, and meals (or Per Diem) costs for staff and other personnel (excluding consultants) participating in the project.
- Other Expenses:** Include costs such as: meeting room costs; purchase of data, reports, and materials; data processing fees; and printing expenses.

---

**\*NOTICE:** Attach a detailed justification for all requested costs by line item. The justification must explain what is being requested in relation to the work statement, as well as the "reasonableness" of the amount being requested – this is a critical piece that must be well developed in order for the state to determine final funding levels.

**Detailed Justification of All Requested Costs by Line Item:**

**1. Staff Costs:** Staffing is based on the allocation of WIB Director time for the Strategic Skills Initiative (SSI) 2.5 year time period. The first six (6) months (9/05—2/06) is dedicated to SSI Research and Planning while the following two (2) years reflect SSI implementation in one or



more business/industry sectors (Clusters). Staffing work entails, for example, guidance and coordination of all operational aspects of the region's SSI, periodic convening of groups such as the SSI Core Team and Sector employers; SSI communications in all modes (verbal, hard copy, electronic, etc.) with Core Team, consortia, contractors and sector employers and DWD; responsibility for guiding, processing and finalizing all SSI reports; SSI monitoring; etc. The WIB Director has "prepped" in the director of this Initiative, via the WIB's Incumbent Worker Council, for over 2 years (See **Attachment 2**: Handout to Board at March 2005 WIB meeting, as part of WIB Director presentation and Board discussion and action.). As a consequence, the work is projected to be at 20-25 hours per week level, allowing for the balance of the (salaried) Director's work with the Workforce Board to be completed on a regular basis. In effect, the WIB Director is able to work more efficiently, with less "learning curve", with more regard and adeptness for "institutionalizing the process" (methodology), and with more focus and commitment than a new/other staff. Time and cost rates are as follows:

1st 6 months:	20 hours per week	Salary: \$16,874	Benefits: \$4,464	Total: \$21,338
Year 1:	25 hours per week	Salary: \$42,185	Benefits: \$12,280	Total: \$54,465
Year 2:	20 hours per week	Salary: \$33,748	Benefits: \$10,807	Total: \$44,555
<b>Totals:</b>		<b>Salary: \$92,80</b>	<b>Benefits: \$27,551</b>	<b>\$120,358</b>

Examples reflect "institutionalizing the process" work:

1. The design of the Kentuckiana Occupational Outlook and its updating mechanisms
2. The Southern 7 Regional Workforce Investment Strategic Plan Update (completed in 7/05)
3. The development of the workonesouthern7.com website, with its automatically updating job search and LMI capacities.

The option of hiring a fulltime staff-person is available into the two (2) year implementation period. At that point, the Solutions approach will be established adequately, with the Research and Planning work completed, such that a new staff person can enter, learn and assume SSI coordination responsibilities, with more pronounced back-up and knowledge base in place in the region for the long term.

**2. Consultant Assistance:** This category consists of seven (7) components designed to work together through the three (3) Research, Identification and Planning phases of the region's SSI with emphasis on: Diligence, work and product quality, timeliness, building core team and sector employer interest, ownership for the sector "symptoms identification, diagnosis and prescription." As well, the combination of staffing and consultation services serves to perform the work in a timely manner, given the respective timelines of each phase, while "institutionalizing the process" (the awareness, knowledge and effective "how-to-do-its") in/for the region for the long term. Six (6) of the seven components listed have been identified as items for which a formal Sole Source procurement request has been made to DWD, dated July 27, 2005. The request has been made in order to insure immediate and full access to quality resources which, together, are able to perform the needed strategic work well, according to the SSI Memo #2 methodology, and perform it in a timely manner. (Each of the three (3) phases involves extensive, sequential work; each phase allows for a six (6) week work completion period, based on DWD requirements.)

The formal Sole Source procurement request is presented in this application as **Attachment 3**. The primary rationale for the request is stated below in an excerpt from that correspondence:

"The Southern 7 Workforce Investment Board (WIB), Inc. requests formal approval from the Indiana Department of Workforce Development (DWD) to utilize a Sole Source Procurement



process in order to implement key aspects of its SSI research and planning activities in an optimal and time-efficient manner, given the operational start date of Sept. 6, 2005. The WIB's requests herein are based on the need for and expectation of credibility, diligence, timeliness of work completion and efficacy in the SSI's work and product. SSI research and planning phases are structured with sound substance and logic. However, it also consists of intense work processes in short time periods. Process involves, for instance, the gaining and studying of detailed data, engaging employers and building their participation toward "solutions" investment, primary data surveying, sector work sessions(summits); and organizing, synthesizing, interpreting and reporting in a salient, user-friendly mode to various audiences, most importantly, the audience of sector employers. The three (3) phases of research and planning work require a sequential timeliness in order to cultivate best results, per phase and in a cumulative manner, and meet the phase deadlines, each of which is approximately six (6) weeks. As such, while each of the following requests includes statements of the entity's distinctive expertise, **the primary rationale for Sole Source procurement is:**

1. Phase timelines are short with intense and varied work to complete, per SSI requirements.
2. Each phase of work requires credible and expert resources who must "hit the ground running", with a well-scheduled readiness to perform focused work, and without need of a "learning curve", so that the work can be completed on time and to DWD's product expectations."

The seven (7) Consultation Assistance components are:

- |   |                        |
|---|------------------------|
| <p><b>1. ERISS Corporation: Job Vacancy Survey</b><br/>(The Indiana Department of Workforce Development (DWD) has required that the survey be conducted in each region by the ERISS Corporation.)</p>   | <p><b>\$13,454</b></p> |
| <p><b>2. Workforce Associates, Inc.:</b><br/>(10-12 online, interactive <u>Technical Assistance</u> Workshops for Staff, Core Team, etc.)</p>   | <p><b>\$9,950</b></p>  |
| <p><b>3. SSI data research*</b><br/>(All SSI Research-related tasks may be provided by IUS School of Business. IUS is a long term partner in the region, having distinctive veteran expertise. See <b>Attachment 4</b>)</p>                                     | <p><b>\$14,000</b></p> |
| <p><b>4. Facilitation of key Core Team Work Session</b><br/>(Session on region's SSI Sector/Cluster determination; requesting professional services of SDG, Inc., as this firm led regional economic development planning in 2004. See <b>Attachment 5</b>)</p> | <p><b>\$1,500</b></p>  |
| <p><b>5. Sector-based Employee/Worker Survey</b><br/>(Incumbent worker view/inputs sought regarding shortage(s), root causes and solutions. Walker Research is sought, via the sole source approach. Walker Research information: See <b>Attachment 6</b>)</p>  | <p><b>\$17,500</b></p> |
| <p><b>6. Independent Contractor*</b><br/>(Competencies and area knowledge of Jennifer Wilcox consulting complement and back-up SSI staffing over the 2.5 year SSI. Requested as a sole source procurement. See <b>Attachment 7</b>.)</p>                        | <p><b>\$25,000</b></p> |
| <p><b>7. SSI Solutions Experts*</b><br/>(Presentation and technical assistance from one (1) or more</p>   | <p><b>\$5,500</b></p>  |





Experts who have led/operated a successful larger-scaled SSI-like Sector Initiative. To be procured in Fall 2005 for use in Jan. 2006)

\*These are requests representing an "up to this amount" definition. These items may involve less use and less cost.

**Total:** **\$86,904**

**3. Travel:** This category represents mileage reimbursement for staffing only over the course of the SSI. Given:

- The online technical assistance workshops with Workforce Associates (no travel)
- Reliance on phone, e-mail, webinars, etc. (minimal travel)
- Other meetings anticipated quarterly with DWD in Indianapolis regarding the SSI and
- Shorter travel distances to/from sector employees in the region 10 and to/from Indianapolis,

the following amounts are projected, based on the current mileage reimbursement rate of .415 per mile:

SSI Research and Planning period:	\$ 500
SSI year 1:	\$1,000
SSI Year 2:	\$1,000
<b>Total:</b>	<b>\$2,500</b>

**\$2,500 is the equivalent of approximately 6,000 miles travel for the 2.5 year time period.**

**4. Other Expenses:** The listing below reflected various costs necessary for proper and full operation of the region's SSI, including fiscal management functions performed by the region's Grant Receiving Organization (GRO) in conjunction with the statewide SSI fiscal agent: Crowe Chizek.

- |  |                |
|--|----------------|
| <b>1. SSI Sector Summit Costs (1)</b><br>(location, food, A-V equipment rental, etc.)<br>Phase 2 "Root Cause" Summit: presentation, work session.<br>Phase 3 "Sector Solutions: Best Practices Presentation and Guidance"<br>Each Summit is projected to have an audience of 25-50 persons.<br>Estimate \$500 cost per Summit. | <b>\$1,000</b> |
| <b>2. SSI Communications</b><br>(letters, invitations, brochure, printing, etc.)   | <b>\$1,500</b> |
| <b>3. Web-based Survey Software Subscription (2)</b><br>(Ex: Survey Monkey.com: design, conducting, tracking and analysis of online sector employer surveys on: Shortage(s), Root Causes, etc. Amount requested allows professional subscription, plus funding if responses totals exceed amount permitted under subscription) | <b>\$ 500</b>  |
| <b>4. 3<sup>rd</sup> Party Contract Monitoring of SSI Research and Planning Grant</b><br>(Program and Fiscal Monitoring required. Monitoring agent is procured and monitoring completed in Program Year 2005)  | <b>\$1,500</b> |



<b>5. Indirect Program Costs, i.e. Fixed Overhead Costs (3)</b>	<b>\$31,754</b>
(Grant Receiving Organization (GRO) costs, based on prorating GRO overhead costs in conjunction with SSI staff time, for the 2.5 years SSI time period.)	
<b>6. Administration Costs (10% of total operational costs: SSI Research and Planning Costs, and 2.5 years SSI staffing and independent contractor costs)</b>	<b>\$24,601</b>
(The <u>GRO</u> is responsible for contracts management, including aspects of fiscal management, <u>in conjunction with the region's formal fiscal agent</u> , Somerset Financial Services, under contract with the regions' Local Elected Officials (LEO).)	
<b>Total:</b>	<b>\$60,855</b>

(1) Core Team member may donate location, food, etc. costs; costs may be less than requested.

(2) If there are not survey response overages, costs may be less than requested.

(3) Supplies, phone and internet service costs, postage, occupancy, copier and computer repair/maintenance; payroll services, etc.

SSI Research and Planning 6 month time period: \$5,671

SSI Year 1: \$14,297

SSI Year 2: \$11,696

Cost increases for overhead items are included at a 5% increase level.

Attachment 1: SSI Research/Plan Activities/Schedule Work Chart				Resources & Roles				
PHASE	TIME PERIOD	TASK	DETAIL	STAFF (P-T: DIR Other	PROFESS. SERVICE (P.S.)	P.S. COST EST.	COR TM.	REG. CONSRTIA
1. Identify occupation and Skills Shortages	Start: 9/6/05	Step.1 Identify key industries or key clusters, key to its economic growth and prosperity.  SSI Data Packets will be available to assist with questions 1-8	<b>Guide: Demand-side questions:</b> 1. Which industries in this area employ the greatest number of workers? 2. Which industries pay the best? 3. Which industries have been growing the fastest: <ul style="list-style-type: none"><li>• In jobs?</li><li>• In numbers of establishments?</li><li>• In average weekly wages?</li></ul> 4. Which industries will be offering the greatest number of new jobs in the next few years? (Matrix database for these questions?)  <b>Supply Side Questions:</b> 21. What is the geographical mobility of Indiana workers by occupation, age, and educational attainment? 22. How much money does it take for a family to be financially self-sufficient in Indiana and its regions?  <b>Guide: Demand-Side Questions:</b> 5. In which of our industries do we now have the greatest comparative advantage? 6. Which industries seem to building stronger strong competitive advantage for the future? 7. Which of our industries are positioned to capitalize on regional, national and/or global growth trends? 8. Which industries have been targeted by state and /or local economic development experts for future growth?  <b>Core Team ID's target cluster(s)</b>	X	Ex: IUS	14,000 Total IUS Costs	X	
	Mtg. Wk. of 9/12/05 Prefer 9/12 or 9/13			XX	Workforce Assoc. (WA) Consult Ongoing	9950 Total WA Cost	XX	
					Ex: SDG T. Ritchie (?s 5-8 session), based on SDG's reg. E.D. plan work in 04	1500		

Complete by: 9/19/05	<b>Step 2. Drill down:</b> Find key industries/ employers experiencing, or are projected to experience, shortages in critical occupations and skill. ID of individual establishments within the targeted industries	Guide: Demand-side questions: 9. Who are the region's specific employers by six-digit NAICS industry code? How many workers do they employ? What are their annual sales? Where are they located? Who is an appropriate person to contact at that firm?  SSI Data Packets will be available to assist with SSI Memo questions 9-11 & 14  As soon as cluster(s) and/or skill shortages are IDed, then ID companies and communicate about the Initiative; invite their involvement in verifying critical occupational and/or skill shortages in their company and industry (especially as relates to questions 10 & 15), determining root causes and devising solutions.	XX	Job Vacancy Survey; ERISS Corp.	13,454	X  Core team reps.	Focus group approach possibly 1-2 groups; each in 1 hr. re questions 10 & 15; May use phone interview or 1 page survey and fax back also  Focus grp. provides basis for consortia of 15-20
9/27/05  Mail Initiative intro. and invitation by 9/20  Focus grp. (s) Sched. for 10/3 or 10/4	DWD Workshop webinar		X				
Data gathering from 9/21-10/17	<b>Step 3. Specific occupations and skill sets in shortage will be identified and targeted for further study.</b>  4 Criteria: 1. Must represent strong employment demand 2. Must be critical to industry competitiveness 3. Must provide good earnings and benefits for workers	Guide: Demand-side questions: 10. Which occupations are most important for the key industries (or clusters) identified in the preceding analysis?  Matrix for these 4 criteria? Criteria 1 & 3: LMI data; ONet data Criteria 2: Especially from Ind. Reps. Criteria 4: DWD guidance; workforce bd. guidance	XX	Job Vacancy Survey; ERISS Corp.  Survey sector employer reps.: Survey Monkey Tool  IUS assist.	500 total Survey Monkey costs	XX	XX Regional industry representatives will participate in the analyses and validate that the occupations and/or skill sets selected for further study are, in fact, critical to industry needs and are in shortage or are



	Questions 19-20 ; start on 10/5 and complete by 10/17		19. What is the present and anticipated future "output" of education and training institutions that prepare entrants into the critical occupations? Needed is a database that shows the following for each institution or organization offering such educational and/or training programs: a. Academic and other requirements for entry into these programs. b. Duration of the programs. c. Cost of the programs. d. Present and planned capacity for intake into the programs. e. Present and anticipated actual intake into the programs. f. Persistence rates and completion rates in these programs. g. A breakdown of reasons for non-persistence and non-completion. 20. What happens to the graduates and other completers of educational and training programs offered by Indiana institutions and organizations?	X	IUS  <b>Contact needed with schools, their websites and placement reports</b>	X	
	4 days to finalize report						
	<b>10/21/05 submit</b>	Occupational Skill Shortage s Report	Report drafted, reviewed and finalized Report Submitted	XX	IUS assist.	X	X Distribute report
<b>2. Identify and analyze ROOT CAUSES</b>	Start 10/21/05; complete by 11/30	Secondary data collection	Compile and analyze existing secondary cluster-based data (National, state, regional, etc.) on causes of shortages	X	WA consulting IUS	X	
	Complete by 11/30/05	Primary data collection	Analysis of job vacancy survey data related to root causes, to be completed in late 9/05 ( <i>employer-based</i> ); summarize key findings	X	WA Consultation; IUS	X	
				X		X	

			Analysis of regional underemployment survey, completed in 6/05 (not yet distributed) ( <i>resident-based</i> ); summarize key findings	X	IUS		X	
			Synthesize key findings from all existing primary data	X	IUS; WA Consultation		X	Consortia reps.
	11/4/05--- 11/16/05	Primary data gathering and then collection	Meet with principal cluster employers 1:1 for Root Cause discussion and "cause factor" ranking; structured interview format	XX				X
	10/21/05--- 11/30/05		Organize data in aggregate	X	Research Firm			
	Complete by 11/30/05		Performing worker survey; analysis of survey data; summarize key findings					
	Meet wk. of 11/28/05		Develop and Conduct an electronic survey with cluster employers regarding Root causes for occupational and/or skill set shortages	XX	Job Vacancy Survey Employer Data; IUS	Survey Monkey approach	X report to core team	X
	Wk. of 12/5/05		Possibility: One or more focus groups with incumbent employees in cluster to gain their input on cluster shortages	XX			X report to core team	
			Meet with area industry association(s) and/or network(s) for Root Cause analysis and ranking relative importance of each cause factor, accounting for secondary data and primary data (shared at session)	XX			XX	XX
	11/17/05	DWD Workshop webinar	Organize and summarize key highlights of all data gathering	XX			X	
				X			X	Core team reps.
	12/9/05	Finalize IDing of Root Causes in rank order	Discussion with core team and/or regional consortia	X			X	
	12/16/05 Submit	Root Causes Report	Report drafted, reviewed and finalized Report Submitted	XX	IUS assist.		X OK report	

3. Develop Solutions: Long-Term Systemic Sustainable Effective	Start 1/2/06	Best Practices Solution guidance (See what has worked elsewhere in our target sector(s))	Gain, share, analyze successful cluster (sector) initiative examples	XX	WA Consultation; Sector Solutions consultant(s), i.e. guidance from those who have succeeded	6,000 To be determined, based on cluster target	X	X
1/2/06—2/10/06	<b>Structured process</b> for devising cluster solutions, factors such as: >What occupations and/or skill sets >What individuals: <ul style="list-style-type: none"> <li>• Incumbent workers</li> <li>• Applicants</li> <li>• Students in a higher Ed. Program, etc.</li> </ul> >Delivery of training >Local investment and contribution >What outcome measures >ROI measures	1:1 discussion with industry reps. <b>Facilitated discussion</b> with core team, industry reps., etc. <ul style="list-style-type: none"> <li>• What are the target goals?</li> <li>• How to make significant, measurable improvement that:             <ol style="list-style-type: none"> <li>1. Increases the availability of qualified workers, hires, in various <u>critical skilled occupations</u> in targeted high-wage industries and./or</li> <li>2. Increases critical skill sets in the cluster's workforce that positively impact the development of key industries and clusters</li> </ol> </li> </ul> <ul style="list-style-type: none"> <li>• How state "venture capital" funds can be used well in the year 1</li> <li>• How state "venture capital" funds can be used well, along with local investment in year 2</li> <li>• How the initiative can sustain</li> </ul>	XX	XX	WA Consultation		X	X





## Sector Strategies: Economic Development ← Workforce Development

### Understanding & Dev. Your Regional Economy

#### 1. Economic Development: Industry Cluster Analysis (see attached)

- > Location Quotient: employment change & competitiveness
- > Quadrants: Mature, Transforming, Emerging Stars

→

#### 2. Workforce Analysis (based on Cluster Analysis)

- > Industry Forecast: Growth and Decline
- > Occupations: Growth and Decline

##### > "Should Be" Measures:

True gaps account for demand AND Supply, @ same time

Analysis down to Skills level

Ex: Jobs EQ product—Scenarios:

Chemicals Mfg prospect, 350 needed

Chart shows staffing pattern → relates to similar jobs in region

Need 24 technicians → there are 500 in region,

based on Jobs EQ data

Ex: Jobs EQ See Industries in decline → Analyze skills

Workers can go to another in-demand job with similar skills set?

If 1 has low skills transferability → Retrain to new in-demand occupation

→

#### Possible WIB roles

- > Participate in regional E.D. plan.

→

#### WorkOne & WIA roles

- > Participate in E.D. plan

→

#### Education/Others

- > Participate: E.D. Plan

- > Inform regional stakeholders: workforce data based on cluster analysis
- > Convene, facilitate and/or assist in identifying workforce needs/issues

→

- > Share info. on effective models for action
- > Build consensus for next steps
- > The above could be a workforce summit/symposium; Bd. represents "workforce intelligence"...or Bd.

→

- > Assist with Labor Market Info.
- > Participate in analysis process

→

- > May assist with workforce research
- > Participate in analysis and exploration of sector skill sets and training
- > Integrate info. with middle and High School Career Prep.

- > "The business of getting business to the table" to identify needs and build solutions
- > Example: Lancaster City, (Penn.) WIB
- > New Workforce skills data sites: Texas, Minnesota, California

#### 3. Employer Outreach (Houston, TX example)

- > Chamber of Commerce assistance to communicate

Workforce analysis findings to sector(s).

> Chamber support/speaks to Industry CEOs:

"WIB has data and can help address your needs."

> WIB and sector HR directors: survey process

Healthcare labor shortages identified; bigger than thought; stealing employees from each other—doesn't work

→

- > Business-directed; business-driven; Bd. rep.
- > Explore use of current and new resources to effectively address needs/issues
- > Meet with Bus. Sector directly; listen; gain specifics
- > Look, with sector reps., at comprehensive solutions

→

- > Identify target business/industry in region rep. sector(s) of size of business
- > Conduct targeted employer outreach; listen; gain specifics
- > Learn what bus. needs and wants

> Community college and University depts.: IVY tech Corp. Affairs; research/tech. assistance (Ex: Red Rock at IUS); Internships

> Higher Ed. Roundtable

> Chamber/Bus. Community contact & support for outreach

> Participate regularly in sector group as needs/issues addressed

> Assist in grant/proposal funding design

> May act as project admin.

> Devise Career Pathways model, Ex: Portland Comm. College

> High School: Career Academies

> Work with sector bus. grp. to devise employee skills-improve strategies

> Advocate to state comm. college system for new capacity; gain authority to issue bonds on behalf of bus. using tr.: Iowa, Kirkwood College

- > Facilitate project/initiative (done by/w others)
- > Be conduit to gain portion or all related project funds
- > Assist in monitoring and evaluation of project
- > Assist in devising sustainability of invest./tr., if determined to be effective
- > Promote, advocate, inform, influence, design, admin.; "Impact more than WIB controls"
- > Inform, guide, verify regional career path data
- > Build new regional strategic directions

> Establish/run bus. services unit(s); target sectors; CCI approach; share Perf. Data with sector group/council

> WIA clients explore re-occupat. potential of sector(s)

> WorkOne partners refer clients to WorkOne site resources to explore sector occupations, skills and Ed./Tr.

> WorkOne customers and WIA clients participate in sector related formal Ed./Tr. building & certification, based on individual assess. finding and one's choice

> Explore new employ./tr. services with target pops. → sector

> Work with sector bus. grp. to devise employee skills-improve strategies

> Advocate to state comm. college system for new capacity; gain authority to issue bonds on behalf of bus. using tr.: Iowa, Kirkwood College

> Participate regularly in sector group as needs/issues addressed

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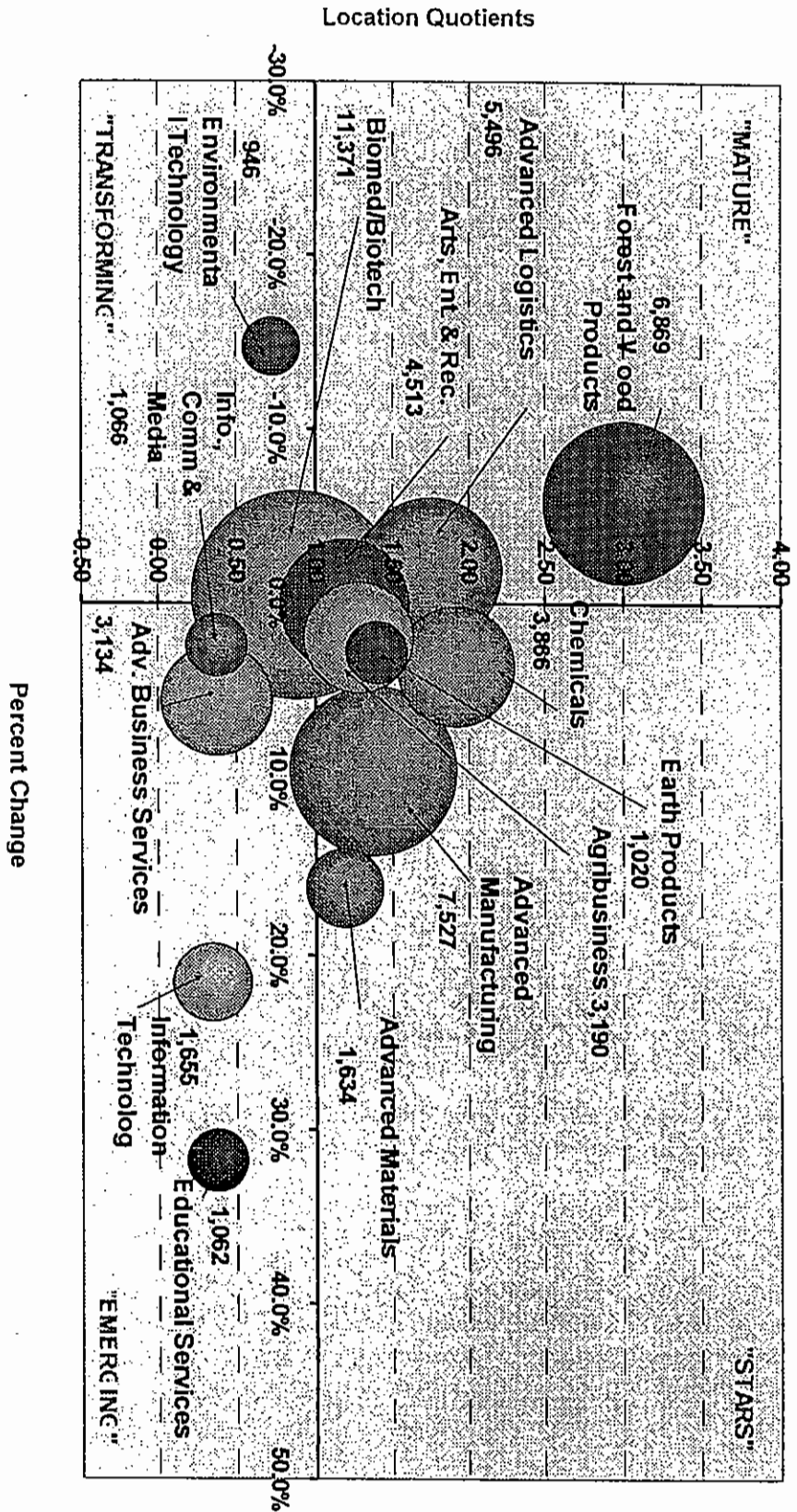
> Participate regularly in sector group as needs/issues addressed

> Assist in grant/proposal funding design

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# Chart 1 – Region 12 Clusters

Region 12 Cluster Location Quotients and Change in Concentration, 2001-2003



Source: IEDC and Purdue University Cooperative Extension Service, with data provided by Indiana Business Research Center, 2004

# workforce<sup>e3</sup>one

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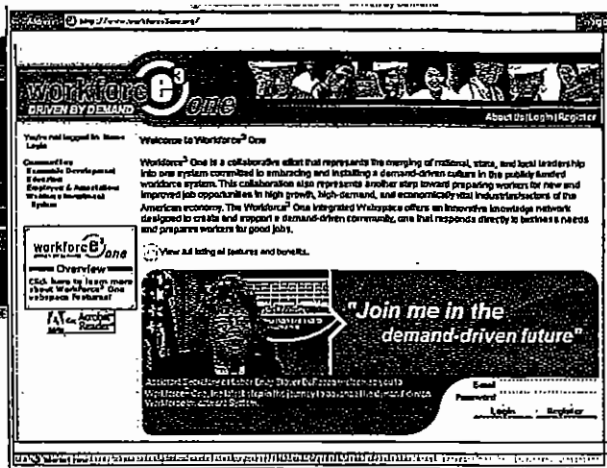
Workforce3one.org grows and improves with your participation. You can both contribute and learn from others. You can collaborate and participate in forums with workforce professionals from across the country.

You can build skills at your pace and discover how to implement demand-driven strategies in your communities.

If you are an...

- Employer;
- Educator;
- Economic development professional; or
- Workforce investment system leader or practitioner

...you can use the [workforce3one.org](http://workforce3one.org) site to work with your peers, share information and contribute to the creation of a demand-driven system.



## Benefits of Workforce<sup>3</sup> One

Workforce3one.org offers valuable features:

- Innovative demand-driven strategies
- Partnership approaches
- Effective ways for engaging business
- Demand-driven career guidance

### Webinars and Self-Paced Learning

- Free learning events
- Real-time interactive webinars
- Convenient self-paced learning

### Research and Information

- Searchable database of websites
- Contacts and case studies
- Project summaries, templates and plans
- Presentations
- Regional data

### Solutions-Based Tools and Products

- Launch and support demand-driven services
- Tools and products to help implement the demand-driven vision

### Communities of Practice

- Peer collaboration
- Member networking
- Share best practices

### Continual Updates

- New research and information

### Promising Practices

- Learn from organizations that have successfully transitioned to demand-driven services



U.S. Department of Labor  
Employment and Training Administration



Workforce<sup>3</sup> One is a new collaborative effort between the US Department of Labor/Employment and Training Administration (ETA), the Center for Employment Security Education and Research (CESER), which is the 501c3 affiliate of the National Association of State Workforce Agencies (NASWA), and the National Association of Workforce Boards (NAWB). Learn more about this unique collaboration by visiting the About Us section of the Workforce<sup>3</sup> One



Workforce Investment

Partnering Today to Build  
Tomorrow's Workforce

Attachment 3

**FILE COPY**

Sent 2ND DAY AIR  
7/29/05

July 27, 2005

Virginia Harrold  
Grants Management  
Indiana Department of Workforce Development  
10 North Senate Ave.  
Indianapolis, Indiana  
46204-2277

**Re: Sole Source Procurements Request by Economic Growth Region (EGR) 10 (Southern 7 Workforce Service Area) for its Strategic Skills Initiative (SSI) Research and Planning Operations**

Ms. Harrold,

The Southern 7 Workforce Investment Board (WIB), Inc. requests formal approval from the Indiana Department of Workforce Development (DWD) to utilize a Sole Source Procurement process in order to implement key aspects of its SSI research and planning activities in an optimal and time-efficient manner, given the operational start date of Sept. 6, 2005. The WIB's requests herein are based on the need for and expectation of credibility, diligence, timeliness of work completion and efficacy in the SSI's work and product. SSI research and planning phases are structured with sound substance and logic. However, it also consists of intense work process in short time periods. Process involves, for instance, the gaining and studying of detailed data, engaging employers and building their participation toward "solutions" investment, primary data surveying, sector work sessions(summits); and organizing, synthesizing, interpreting and reporting in a salient, user-friendly mode to various audiences, most importantly, the audience of sector employers. The three (3) phases of research and planning work require a sequential timeliness in order to cultivate best results, per phase and in a cumulative manner, and meet the phase deadlines, each of which is approximately six (6) weeks. As such, while each of the following requests includes statements of the entity's distinctive expertise, the primary rationale for Sole Source procurement is:

1. Phase timelines are short with intense and varied work to complete, per SSI requirements.
2. Each phase of work requires credible and expert resources who must "hit the ground running", with a well-scheduled readiness to perform focused work, and without need of a "learning curve", so that the work can be completed on time and to DWD's product expectations.

The WIB presents several Sole Source procurement requests. These items are integral to the research and planning design and its work, based on consensus of the EGR's "Core Team". The WIB acknowledges that each request includes: a) request purpose, b) dollar amount, c) justification and d) cost and/or price analysis.

**Request # 1:**

**a) Purpose:** The WIB requests approval to contract with the Indiana University Southeast (IUS) School of Business to perform 1) **“data mining” (secondary data), analysis, interpretation, draft reporting, and 2) regional consortia participation and guidance therein across all three (3) SSI research and planning phases**, in direct relationship with many of the questions presented in the SSI Information Memo #2 (7/08/05). The Memo lists a number of sequential queries that lead logically to: a) identification of 1 or more sectors/clusters of business/industry that are projected to “drive” the region’s economy into the future; selection of one (1) or more clusters for the purpose of SSI study and solutions implementation, b) identification and detail on critical occupations (fitting the Memo’s criteria) in that sector and, c) identifying short and long-term shortages and detail on those occupations, d) identifying and analyzing root cause(s) and contributing factors, and e) using this information and perspective toward devising effective solutions; in a “line-of-sight” mode. IUS will also assist in the design of 2 or more employer surveys in Phase 1 and Phase 2. The principal IUS personnel are:

Dagney Faulk, Ph.D.

Associate Professor of Economics

Phone: 812-941-2569

Fax: 812-941-2672

e-mail: [dfaulk@ius.edu](mailto:dfaulk@ius.edu)

Jay White, Ph.D.

Associate Professor of Finance

Editor, *Journal of Business Disciplines*

Phone: 812-941-2521

Fax: 812-941-2672

e-mail: [jwhite04@ius.edu](mailto:jwhite04@ius.edu)

**b) Dollar Amount:** Up to \$14,000

**c) Justification:** Significant, highly acclaimed research work on the 23 County bi-state regional economy, which includes 1) EGR 10 completely (as well as Jefferson County, Indiana), 2) Louisville, Kentucky (Jefferson County); and 3) 15 Counties south of Louisville to Elizabethtown, Kentucky, has been conducted by Dr. Paul Coomes, University of Louisville. Associate Professor Dagney Faulk, IUS, has assisted in this research work for several years; Ms. Faulk has been the principal researcher for Indiana information in this bi-state economic paradigm. Associate Professor Alan White has a similar knowledge base and background. Consequently, **IUS provides unique, highly relevant expertise and work readiness for SSI research and planning.** The numerous, distinct research reports on the area, both at the county level, regional level and “big picture” bi-state level, are demonstrated well in two (2) highlight ways:

The Louisville Economic Monitor website: <http://monitor.cbpa.louisville.edu/>

Kentuckiana Occupational Outlook website: <http://www.kentuckianaworks.org/outlook/>

Both of these sites have enormous value for the region’s SSI. Both sites have involved Southern 7 WIB participation and usage. The Occupational Outlook site reflects a Community Workforce Audit product funded by the U.S. Department of Labor (DOL). The Southern 7 WIB’s Incumbent Worker Council provided significant input on the site’s original design and its more recent revisions. These **distinctive sites serve as a reservoir of key data pertaining to the SSI, with additional value in the research contractor usage of veteran IUS personnel. Aside from the distinctive expertise noted above, the primary rationale for this sole source procurement request is:**

1. Phase timelines are short with intense and varied work to complete, per SSI requirements.
2. Each phase of work requires credible and expert resources who must “hit the ground running”, with a well-scheduled readiness to perform focused work, and without need of a

“learning curve”, so that the work can be completed on time and to DWD’s product expectations.

3. The formal work start date is Sept. 6, 2005, approximately five (5) weeks from today, with each Phase allowing six (6) weeks work time. Conventional procurement process requires notably more time than five (5) weeks; even if conventional procurement could be completed, it is not likely that the selected vendor could have a reliable readiness to proceed on such short selection notice. Conventional procurement will compromise the very quality of work DWD expects from SSI regional work teams. As such, a Sole Source approach permits both proper contracting, quality and work readiness.

Quality work, as described above, cannot be realistically accomplished otherwise.

**d) Cost/Price Analysis:** \$50.00/hr., up to 280 hours, not to exceed \$14,000.00. By comparison, other expert research work utilizing private sector companies, such as Corporation for a Skilled Workforce, charge at least \$150.00 per hour. Phase 1 work time is projected to be more extensive and intensive, given the degree of data mining and related functions, between 9/06/05 and 10/21/05. It is understood that the amount of work hours is also contingent on SSI data packet content provided by DWD, which is crafted in conjunction, for instance, with the Indiana Business Research Center (IBRC). In effect, the amount of cost may well be less than noted above.

#### **Request #2:**

**a) Purpose:** The WIB requests approval to contract with the Strategic Development Group (SDG) and Thayr Richey, its CEO, to **facilitate a 4-6 hours session** in September with the Core Team to: 1) study and discuss the region’s Cluster Analysis, based on the January 2005 regional Economic Development Plan, and 2) **identify the specific cluster (business/industry sector) upon which SSI further study, root cause analysis and long-term workforce solutions will be based**, 3) provide a report on the session and its findings, for use in completing the Skill Shortages Report. This session will act as the key kick-off juncture for targeted SSI work through 2008. (At this juncture, the first several research queries in SSI Memo #2 will be completed; this data will assist as well in/for this work session.)

**b) Dollar Amount:** \$1,500.00

**c) Justification:** SDG produced economic development plans for economic (Commerce-designated) regions, as they were composed in 2004. While some regions have significantly new composition, EGR 10 remains largely intact. However, SDG will update their plan information appropriately to insure the cluster analysis is up-to-date for EGR 10 proper. Mr. Richey and staff worked with a group of 25+ community leaders in business, education, economic development and workforce development from August through November 2004. SDG knows the Core Team participants and their expertise and commitment to economic development, with its integral ties to workforce development. **Both Mr. Richey’s knowledge and familiarity with the particulars of EGR 10 from the standpoint of comprehensive economic development, as well as his knowledge of the participants make SDG uniquely suitable to facilitate and “process” through this critical SSI work session.** As a consequence, **the Core Team will be able to be “up to speed” in the session quickly so the “meat” of the work can be completed in an optimal manner.** SDG affords **continuity and efficiency for this session that another facilitator could not provide.**

**Aside from the distinctive expertise noted above, the primary rationale for this sole source procurement request is:**

1. Phase timelines are short with intense and varied work to complete, per SSI requirements.
2. Each phase of work requires credible and expert resources who must “hit the ground running”, with a well-scheduled readiness to perform focused work, and without need of a “learning curve”, so that the work can be completed on time and to DWD’s product expectations.



3. The formal work start date is Sept- 6, 2005, approximately five (5) weeks from today, with each Phase allowing six (6) weeks work time. Conventional procurement process requires notably more time than five (5) weeks; even if conventional procurement could be completed, it is not likely that the selected vendor could have a reliable readiness to proceed on such short selection notice. Conventional procurement will compromise the very quality of work DWD expects from SSI regional work teams. As such, a Sole Source approach permits both proper contracting, quality and work readiness.

Quality work, as described above, cannot be realistically accomplished otherwise.

**d) Cost/Price Analysis:** Estimated at \$100.00 per hour. A total of at least 15 hours of work is assumed, including: 6 hour work session, travel time, preparation for session work (2005 Economic Development Plan summarizing (salient points and findings from that recent plan); updating information as applies to Cluster Analysis; consultation with research analyst regarding the several SSI Memo #2 questions that apply); and subsequent session report. By comparison, another firm might conduct the work, but with less or no knowledge of the region, its particulars, or the participants. It will take more facilitator preparation time and more work session time to "get up to speed"; consequently, costs increase likely by \$1,000.00 or more.

**Request #3:**

**a) Purpose:** The WIB requests approval to contract with Walker Research to conduct a **Sector-based "worker" survey**. The identified cluster/sector will be studied to gain employer inputs and perspective on root causes of critical occupational and/or skill set shortages via electronic surveying, focus groups, 1:1 discussion, and summits. The Core Team has determined that **much added value can be gained by also addressing the other side of the shortages equation: gaining the worker's input and perspective** on, for example: a) the critical occupations, b) their view of shortages in those occupations and the impact of these shortages on them, c) related ease or difficulty getting into the field; d) education/training issues; e) migration dynamics (where one resides; where one lives; is one from the area or did he/she move here, etc.); f) root causes of shortages; g) inputs on solutions to shortages, etc. **Such data should assist significantly toward a more balanced (employer and employee), robust view of both root causes and "line of sight" solutions.** ERISS Job Vacancy Survey employer data will assist in identifying sector employers. Walker Research would work with SSI staff and IUS to design the survey, use one (1) or more delivery modes (electronic, phone, hard copy, etc.), process the survey with sector employers (HR Directors, etc.), tabulate findings and provide report.

**b) Dollar Amount:** \$17,000

**c) Justification:** Walker Research (WR), located in Indianapolis, Indiana, specializes in conducting employee/worker-based surveys in various modes: phone, electronic, hard copy, etc. with hundreds of businesses. WR offers specific expertise, definitive approach and pricing structure, unique and veteran knowledge of workforce development in Indiana (B.J. Kyz-Sheely), and in-depth knowledge of and commitment to Indiana business climate, dynamics and goals.

**Aside from the distinctive expertise noted above, the primary rationale for this sole source procurement request is:**

1. Phase timelines are short with intense and varied work to complete, per SSI requirements.
2. Each phase of work requires credible and expert resources who must "hit the ground running", with a well-scheduled readiness to perform focused work, and without need of a "learning curve", so that the work can be completed on time and to DWD's product expectations.
3. The formal work start date is Sept. 6, 2005, approximately five (5) weeks from today, with each Phase allowing six (6) weeks work time. Conventional procurement process requires notably more time than five (5) weeks; even if conventional procurement could be completed,



it is not likely that the selected vendor could have a reliable readiness to proceed on such short selection notice. Conventional procurement will compromise the very quality of work DWD expects from SSI regional work teams. As such, a Sole Source approach permits both proper contracting, quality and work readiness.

Quality work, as described above, cannot be realistically accomplished otherwise.

**d) Cost/Price Analysis:** The cost is based on the general parameters of work, which are taken from specific SSI Memo #2 questions on page 5 and 6 and additional queries regarding commuting, job satisfaction, root cause and solutions inputs/opinions, etc. As well, parameters were presented in terms of timeline for survey start and product completion, sample size, and number of respondents projected from sample size. Various survey methodologies were explored: phone interview, online surveying, paycheck stuffers, etc. As well, the strategy of contacting: 1) ex-employees, 2) ex-employees who have left the occupational field, 3) students in training are included for consideration. Cost estimates, based on the parameters above, were gained from several companies. Of four companies contacted in California, Texas, Canada and Indiana, only 2 were at all affordable. Two ranged from \$48,000-\$51,000, with additional costs suggested. The other "affordable" company was vague in its approach and concurrence with needed survey content, and also suggested additional costs. Only Walker Research provides a clear, firm work approach and base at 1000 survey responses and 42 companies; or an average of 17.00 per survey completed. Cost efficiency is improved by no travel costs from WR; travel costs by other companies were indicated as additional charges. Overall, of four (4) comparable companies, only Walker Research has both relevant expertise, and also-a) a clear, affordable price for surveying a large sample size to derive statistically valid results, and b) a readiness to perform the survey work.

#### **Request #4:**

**a) Purpose:** The WIB requests approval to establish an independent contractor relationship with Jennifer Wilcox consulting. Ms. Wilcox will provide **regular, local expertise in all phases of SSI research and planning, as well as implementation assistance across the 2 year period.** Her competencies range from professional experience in a) community development, economic development and workforce development to b) resource development (grant-writing and proposals for funding) and project management to c) academic and applied research expertise, report writing, and group facilitation. Ms. Wilcox's background has provided her with a broad business/industry network base in southern Indiana as well as working relationships with various community institutions like Indiana University Southeast, United Way, Community foundations, WorkOne and its partner services, etc. Ms. Wilcox provides complementary competencies to other staff assigned, provides a "second set of objective, acclimated eyes" regularly, acts as a staff back-up, assists when multiple-person tasking is needed in order to accomplish 2 or more tracks of SSI activity in the same time period, and generally will serve to insure institutionalizing the SSI process locally and regionally.

**b) Dollar Amount:** \$25,000. Work is projected to be apportioned as follows: 1) \$12,500 in the Research and Planning phases of the SSI, 2) \$6,250 for implementation year 1 and year 2 respectively.

**c) Justification:** Ms. Wilcox provides both **distinctive, very well-rounded expertise and local, regional knowledge and experience relevant to the SSI.** Her expertise is a well-established, well-proven area commodity. For the SSI's purposes in EGR 10, she will be able to **start immediately and fully with minimal, if any, learning curve necessary; thus, her presence better insures both quality and timeliness in SSI work product and also, adeptness in the work of "institutionalizing the process" of the SSI.**

She knows, lives in and is committed to southern Indiana. She has assisted the WIB in finalizing "workforce intelligence" projects, such as a) a regional Employer Survey of employee skills needed

Today and in the Future, b) the WIB's regional strategic plan for Workforce Investment and c) a comprehensive update on that regional plan. The SSI fits notably with both Ms. Wilcox's experience and expertise, and also with the nature, scope and geography of her company.

**Aside from the distinctive expertise noted above, the primary rationale for this sole source procurement request is:**

1. Phase timelines are short with intense and varied work to complete, per SSI requirements.
2. Each phase of work requires credible and expert resources who must "hit the ground running", with a well-scheduled readiness to perform focused work, and without need of a "learning curve", so that the work can be completed on time and to DWD's product expectations.
3. The formal work start date is Sept. 6, 2005, approximately five (5) weeks from today, with each Phase allowing six (6) weeks work time. Conventional procurement process requires notably more time than five (5) weeks; even if conventional procurement could be completed, it is not likely that the selected vendor could have a reliable readiness to proceed on such short selection notice. Conventional procurement will compromise the very quality of work DWD expects from SSI regional work teams. As such, a Sole Source approach permits both proper contracting, quality and work readiness.

Quality work, as described above, cannot be realistically accomplished otherwise.

**d) Cost/Price Analysis:** \$50.00 per hour. Comparable vendors:

- a) have a less in-depth regional knowledge base,
- b) will likely require more time for "getting up to speed",
- c) have less time available for SSI work in the time periods identified, and
- d) ultimately cost more both in terms of hourly rates, such as \$60.00---\$125.00 per hour, plus possible travel expenses, and in terms of total costs based on hours needed to perform the work in a timely and quality manner.

**Request #5:**

**a) Purpose:** The WIB requests approval to contract with the ERISS Corporation to conduct a regional Employer Job Vacancy Survey. This 34-item survey is integral to the SSI research and planning work. It will provide employer-based data on shortages in industries, as well as information on employees skills issues. The surveying is expected to be completed by late September 2005, so that it helps to inform the skills shortages report.

**b) Cost:** \$13,454.18

**c) Justification:** Indiana Department of Workforce Development (DWD) has required that the survey be conducted in each region by the ERISS Corporation. The Survey scope of work and contract between ERISS and each WIB has been sent to the EGR 10 WIB (Southern Seven), as well as to all other regions in Indiana.

**d) Cost/Price Analysis:** DWD performed the cost/price analysis, per procurement policy and requirements.

**Request #6:**

**a) Purpose:** The WIB requests approval to contract with Workforce Associates, Inc. for the purpose of providing the region's SSI staff and core team members with individually tailored on-line technical assistance (TA) workshops. 10-12 TA sessions are expected to occur in an interactive Microsoft Live Meeting environment. The workshops will offer TA guidance throughout the 3Phase course of SSI research and planning (Sept. 05—Feb. 06)

**b) Cost:** \$9,950.00

**c) Justification:** Workforce Associates, Inc. (WA) is a principal architect of the SSI and its respective processes and expected outcomes. WA performed significant work in Illinois as part of a

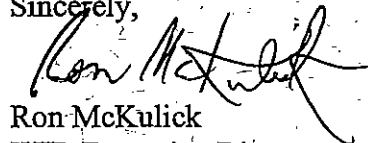
similar statewide initiative. Again, WA provides relevant and unique expertise regarding all phases of SSI work. In addition, while DWD does not require the usage of Workforce Associates for the SSI (it is optional), their usage has been recommended by DWD as an alternative to using other consultants for Technical Assistance.

**d) Cost/Price Analysis:** For twelve Technical Assistance workshops, the average base cost is \$829. Each workshop is expected to have a 60-90minute session length. WA has indicated they are also available for other sessions, phone and/or e-mail communications a no additional charge. The \$9,950 fee is a per region cost. It is expected that several other regions will be utilizing Workforce Associates services for TA.

The WIB appreciates your consideration and approval of these Sole Source Procurement requests. They are designed to insure timely and effective work principally in the Research and Planning phases of SSI, paving the way for sound and progressive solutions to be implemented in EGR 10 in the following 2 years of the SSI.

The WIB will be submitting its SSI Research and Planning application to DWD by August 5, 2005. If you have any questions or need further clarification, please contact the WIB office. WE look forward to hearing from you soon.

Sincerely,



Ron McKulick  
WIB Executive Director  
SSI Core Agent  
EGR-10

Cc: Andrew Penca/DWD  
Doug Jones/Crowe Chizek  
Doug Katt/ WIB Chair

Updated 07/22/05

## **Dagney G. Faulk**

### **CONTACT INFORMATION:**

*Office:*

School of Business  
Indiana University Southeast  
New Albany, IN 47150

*Residence:*

816 Cedar Bough Place  
New Albany, IN 47150

Phone: (812) 941-2569, Fax: (812) 941-2672, E-mail: [dfaulk@ius.edu](mailto:dfaulk@ius.edu)

**FIELDS:** Public Finance, Urban Economics, Economic Development.

**PRESENT RANK:** Associate Professor of Economics, Indiana University Southeast, New Albany, IN.

### **EDUCATION:**

**Ph.D. in Economics**, 1999, Georgia State University, Andrew Young School of Policy Studies, Atlanta, GA.

Dissertation: *An Analysis of the Participation Decision and the Employment Impact of State Employment Tax Credits*, Dissertation Committee Chairman: Professor Roy Bahl.

**Master of Arts in Economics**, 1995, Georgia State University, Atlanta, GA.

**Bachelor of Arts - Summa Cum Laude**, 1991, Mount Vernon College, Washington, DC.  
Valedictorian, Double Major: International Studies and Arts & Humanities.

**Spanish Language Studies**, 1991, Catholic University of Ecuador, Quito.

### **PROFESSIONAL AFFILIATIONS:**

American Economic Association, Association for Public Policy Analysis and Management, Committee on the Status of Women in the Economics Profession, Midwest Economic Association, National Tax Association, Southern Economic Association, Southern Regional Science Association.

### **HONORS:**

2005 Listed in 40 Under Forty in Louisville, Business First

2004-05 School of Business Distinguished Service Award, *Indiana University Southeast*

2003 Admitted to the Faculty of the University Graduate School, *Indiana University*

2002 Distinguished Research Award for Junior Faculty, *Indiana University Southeast*

2000-01 School of Business Distinguished Service Award, *Indiana University Southeast*

1997 George J. Malanos Economic Doctoral Award, *Georgia State University*.

(Awarded to the student best exemplifying a commitment to the exchange of ideas & the creation of a community of scholars.)

1994-6 Departmental Representative, Doctoral Fellows, *Georgia State University*.

1991 Valedictorian, *Mount Vernon College*.

1991 B.A. Award for Excellence in Political and Social Science, *Mount Vernon College*.

1991 Arts and Humanities Award, *Mount Vernon College*.

### **WORK EXPERIENCE:**

## **Teaching**

**Assistant Professor of Economics**, 1999 - present, School of Business, Indiana University Southeast, New Albany, Indiana.

### ***Courses Taught 1999-2004 Academic Years:***

Principles of Macroeconomics, Principles of Microeconomics, Business Statistics, Urban Economics, Current Topics in Economics, Fundamentals of Economics: An Overview.

### ***Other Teaching Interests:***

Economic Development, International Economics, Intermediate Microeconomics, Public Finance, Environmental and Natural Resource Economics, Econometrics, Managerial Economics.

**Instructor**, 1997, Department of Economics, Georgia State University, Principles of Microeconomics.

**Graduate Teaching Assistant**, and substitute lecturer for Undergraduate, Master's and Ph.D. courses in Public Finance, 1996-1999, Department of Economics, Georgia State University.

## **Research**

**Senior Fiscal Analyst**, Dec. 2003-Aug. 2004, *Office of Fiscal and Management Analysis, Indiana Legislative Services Agency, Indianapolis, IN.*

Fiscal analysis of proposed legislation dealing with the inheritance tax, corporate income tax, and various tax credits. Developing appropriate databases to use for analysis. Analysis and/or presentations on property tax and business tax issues for various interim study committees.

**Research Associate**, 1997 – 99, *Fiscal Research Program: Georgia State University, Atlanta, Georgia.*

Policy analysis and presentations on various state tax and economic development issues for dissemination to government officials including the following areas: personal property taxes, rural economic development, economic development incentives, and regional industrial growth using CPS, PUMS, ES202, and property tax data. Supervised one research assistant.

**Graduate Research Assistant**, 1993 – 97, *Policy Research Center, Georgia State University.*

Duties included assisting professors in data collection, extracting files from PUMS, CPS, PSID, and conducting quantitative analysis for policy reports and scholarly publications in the following areas: infant health, credit and labor markets, public school finance, state and local tax issues, earnings differentials, and the evaluation of government programs.

**Summer Internship**, 1997, *The World Bank (Eastern Europe & Central Asia Region).*

Co-authored papers on Eastern Europe's debt build-up and on Lithuania's long-term transition reforms.

**Summer Internship**, 1996, *U.S. Department of Housing & Urban Development: Washington, D.C.*

Co-authored paper on city/suburban wage differentials and authored policy reports on congressional legislation.

**Research Assistant**, 1992-93, *The World Bank (Urban Development Division): Washington, D.C.*

Co-authored paper on National Housing Policy in Nigeria. Contributed to various policy papers on housing finance, privatization and project performance.

**Assistant Desk Officer for Sri Lanka and Nepal**, 1991, *U.S. Agency for International Development:*

*Washington, D.C.* Authored briefings which USAID officials presented to Congress and policy position papers for country missions and the general public.

## **Consulting**

**Consultant**, December 1999 – January 2001, *The Corradino Group, Louisville, Kentucky*.

Economic and demographic analysis to develop a downtown development plan for New Albany, Indiana.

**Consultant**, 1996, *Kronish, Lieb, Weiner & Hellman LLP*.

Part of a team studying the effects of the New Haven Rail Line on the New York and Connecticut economies.

## **PUBLICATIONS:**

### **Refereed Journals**

“Do State Economic Development Incentives Create Jobs? An Analysis State Employment Tax Credits,” *National Tax Journal*, 55.2, 2002, pp. 263-280.

“The Participation of Firms in Tax Incentive Programs,” *Review of Regional Studies*, 31.1, 2001, pp. 39-50.

“Private Sector Participation, Structural Adjustment and Nigeria's New National Housing Policy: Lessons from Foreign Experience,” *Journal of African Economics* 3.3, 1994, pp. 387-411 (with Robert Buckley and Leke Olajide).

### **Non-Refereed Journals**

“Outlook 2005 for New Albany, IN,” *Indiana Business Review* 79.4, 2004, pp. 22-24.

“Indiana’s Business Income Taxes: Who Pays?” *Indiana Business Review* 79.3, 2004, pp.1-3 (lead article with Jim Landers).

“How We Got Here from There: A Chronology of Indiana Property Tax Laws,” *Indiana Business Review* 79.2, 2004, pp. 1-3, (lead article).

“Outlook 2004 for New Albany, IN,” *Indiana Business Review* 78.4, 2003, pp. 22-24.

“Outlook 2003 for New Albany, IN,” *Indiana Business Review* 77.4, 2002, pp. 26-28.

“Outlook 2002 for New Albany and the Louisville MSA,” *Indiana Business Review* 76.4, 2001, pp. 25-27.

“The Economic Outlook for Southern Indiana and the Louisville Metropolitan Area,” *Indiana Business Review* 75.4, 2000, pp. 32-35.

“An Analysis of the Participation Decision and Employment Impact of State Employment Tax Credits,” *State Tax Notes*, March 6, 2000, pp. 761-765.

“The Personal Property Tax in Georgia: Issues and Options,” *Journal of Property Tax Management* 10.4, 1999, pp. 11-35.

### **Invited Book Chapters**

“Taxation and Distribution” in *The Challenges of Tax Reform in a Global Economy*, forthcoming.

### **Papers Published in Conference Proceedings**

"The Goals and Limitations of Corporate Tax Credits as a Policy Tool," Proceedings of the 93<sup>rd</sup> Annual Conference on Taxation, Santa Fe, NM: National Tax Association, 2000, pp. 195-201.

"The Employment Participation Decision and State Employment Tax Credits," Proceedings of the 92<sup>nd</sup> Annual Conference on Taxation, Atlanta, GA: National Tax Association, 1999, pp. 481-86.

### **Policy Papers**

"The Corporate Income Tax in Indiana." Indiana Legislative Services Agency, July 2004.

"Business Income Subject to Indiana's Individual Income Tax." Indiana Legislative Services Agency, July 2004.

"Business Tax Credits and Deductions in Indiana." Indiana Legislative Services Agency, July 2004.

"The Economic Impact of Indiana University Southeast on the Louisville Region." Indiana University Southeast, May 2002.

"An Analysis of Georgia's Economic Development Tax Credit Incentives" Georgia State University, *Fiscal Research Program*. Report No. 42, January 2000 (with Keith Ihlanfeldt, David Sjoquist, William Smith, Jeanie Thomas, Kathleen Thomas).

"An Analysis of the Employment Impact of Georgia's Job Tax Credit" Georgia State University, *Fiscal Research Program*. Report No. 38, December 1999.

"Corporate Tax Credits Considered for Social Policy" *Fiscal Facts*, Georgians for Children, September 1999.

"Economic Self-sufficiency: The Minimum Cost of Family Support in Atlanta, 1998" prepared for the Greater Atlanta United Way, May 1999.

"Addressing Noncompliance in the Earned Income Tax Credit." Policy Memorandum prepared for the Honorable Mac Collins, U.S. House of Representatives, *Fiscal Research Program Policy Brief*, May 1999.

"An Analysis of Business Activity in Georgia's 12 Service Delivery Regions, 1989-97," for the Georgia Department of Industry Trade and Tourism, Fall 1998.

"Growth and Change: Understanding State Economic Development Issues," Georgia State University, School of Policy Studies, *Issues and Policies*, Oct. 1998 (with Jeanie Thomas).

"The Taxation of Personal Property in Georgia," Georgia State University, *Fiscal Research Program*, Report 18, Aug. 1998.

"Georgia's Job Tax Credit: An Analysis of the Characteristics of Eligible Firms," Georgia State University, *Fiscal Research Program*, Report No. 8, June 1998.

"Is There a Latin-American Debt Crisis Building Up in Eastern Europe? A Comparative Analysis," *World Bank*, processed, Sept. 1997 (with Marcelo Giugale).

"Georgia's Job Tax Credit: Characteristics of Participating Firms," Report for the Income Tax Section of the Southeastern Association of Tax Administrators, Richmond, VA, July 1997.

“Service Contracting,” *Research Atlanta, Inc.* Report Series: 1997 (with Dave Sjoquist and Marshall Sanders).

“City-Suburban Earnings Differentials: Do They Exist? A Comparison of Private Sector Workers by Occupation,” processed, HUD, Sept. 1996 (with John Ross and Kirk Usowski).

“Creating an Action Plan for Community Revitalization: A Case Study of the West Jackson Community Development Corporation 1993-1995,” *Martin Luther King Center for Nonviolent Social Change*. Community Empowerment Initiative, Dec. 1995.

### **Research Grants/Fellowships:**

Summer Faculty Fellowship 2002: “Aging Downtowns in Metropolitan Areas: Revitalization or the Wrecking Ball?” Indiana University Southeast, \$5500.

Grant-in-Aid of Research: Spring 2001 “City-Suburban Earnings Differentials: An Analysis of Earnings by Occupation,” Indiana University Southeast, Funding to purchase the 1990 Census Public-Use Microdata Set, \$450.

Summer Faculty Fellowship 2000: “Developing a Database of Local Economic Variables and Basic Economic Indicators for Southern Indiana and the Louisville Metropolitan Area,” Indiana University Southeast, \$5000.

Dissertation Grant: Fall 1998. “State Employment Tax Credits: An Experimental Analysis of the Firm’s Participation Decision,” Georgia State University, \$2000.

Researcher, Analysis of Rural Economic Development Programs in Georgia: May-August 1998.  
“Profiles of the 11 non-Atlanta Service Delivery Regions,” Final Report for the Georgia Department of Industry, Trade and Tourism (with R. Lann, A. Meek, A. O’Neill, S. Paul), \$4000.

### **Research in Progress, Not Funded:**

“The Process and Practice Downtown Revitalization”

“The Fairness and Efficiency of Taxing Potential Income from Human Capital.” (with Sally Wallace and Jorge Martinez)

### **STUDENT RESEARCH (DIRECTED):**

Jessica Watts, B.S. Business Economics and Public Policy, “Indiana Brownfields: An Analysis of Local Characteristics Impacting Brownfield Reporting,” Indiana University Southeast Undergraduate Summer Research Fellowship (\$1000), Summer 2001. (One of four fellowships awarded on the IU Southeast Campus through the IU Office of Research and the University Graduate School.) Ms. Watts presented this research at the Indiana University Undergraduate Research Conference, Oct. 2001.

“Assessment of Housing Needs for the City of New Albany,” Service Learning Project culminating in a report and presentation for the New Albany Housing Authority, April 2003. The research was conducted by 27 students in Urban Economics, 2003 Spring Semester.

### **MEDIA ACTIVITY (Selected):**

Quoted extensively in an article by Larry Thomas on property tax limits in Indiana and the recent court-ordered



reassessment, "Work's done, what's next?" The Evening News, (Jeffersonville, IN), 21 August 2004, A1+.

Quoted extensively in an article by Ben Hershberg on downtown revitalization in New Albany and Jeffersonville, "Jeff's revitalization attributed to city's efforts," Courier Journal, (Louisville, KY), 12 December 2003, B2.

Quoted extensively in an article by Dick Kaukas on educational attainment in Southern Indiana, "College, high school graduates up in Southern Indiana, census shows," Courier Journal, (Louisville, KY), 18 May 2002, A1+.

Quoted extensively in an article by David McGinty on the Louisville regional economy following the 2002 Economic Outlook, "Economist: Area bucks U.S. slump," Courier Journal, (Louisville, KY), 21 Nov. 2001, C1+

Interviewed by reporter Dick Irby over the rising national unemployment rate and its effect on the Louisville economy, WDRB-TV FOX41 News, (Louisville, KY), aired 2 Nov. 2001.

Interviewed by Bob McIntosh over the Louisville regional economy for the rebroadcast of the 2001 Economic Outlook Breakfast program, WAVG 1450 AM Radio, (Jeffersonville, IN), aired 25 Nov. 2000.

Quoted in a story on the New Albany Citizen Academy, Courier Journal, (Louisville, KY), 24 Nov. 2000, B2.

Quoted in a story on the Louisville regional economy, Courier Journal, (Louisville, KY), 22 Nov. 2000, D1.

Interviewed by reporter Lawrence Smith on the advantages and disadvantages of a Louisville-Jefferson County merged government, WHAS-TV11 News, (Louisville, KY), aired 3 Nov. 2000.

## **CONFERENCE/SEMINAR ACTIVITY:**

### **Presentations at National Conferences**

"The Goals and Limitations of Corporate Tax Credits as a Policy Tool." Presented at the 93<sup>rd</sup> Annual Meeting of the National Tax Association, Santa Fe, NM, November 9-11, 2000.

"An Analysis of the Participation Decision and Employment Impact of State Employment Tax Credits," Presented at the 92<sup>nd</sup> Annual Meeting of the National Tax Association, Atlanta, Oct. 24-26, 1999.

"An Inter-University Research Consortium: Cooperative Policy Development for a State Agency," Panelist, Seventh Annual LINKS Conference, Sacramento, CA, April 1999.

### **Presentations at Regional Conferences**

"The Process and Practice of Revitalizing Aging Downtowns within Metropolitan Areas," presented at the annual meeting of the Southern Regional Science Association, Louisville, KY, April 11, 2003.

"The Process and Practice of Revitalizing Aging Downtowns within Metropolitan Areas," presented at the Indiana Academy of the Social Sciences Annual Meeting, Richmond, IN, Oct. 18, 2002.

"Reflections on Sprawl from Northeastern Brazil," Presented at the Indiana Planning Association Annual Conference, Clarksville, IN, October 4, 2001.

"City/Suburban Earnings Differentials: An Analysis of Earnings by Occupation," Presented at the Midwest

Economic Association Annual Meeting, Cleveland, OH, March 29-31, 2001.

"Do State Economic Development Incentives Create Jobs? An Analysis of State Employment Tax Credits," Presented at the Midwest Economic Association Annual Meeting, Chicago, March 31- April 2, 2000.

"Georgia's Job Tax Credit: An Analysis of the Characteristics of Eligible Firms," Presented at the Southern Economic Association Meetings, Atlanta, GA, Nov. 22-24, 1997.

"The Ability to Pay Principle, Human Capital and Taxation," Presented at the Southern Economic Association Meetings, Washington, DC, Nov. 21-23, 1996 (with J. Martinez-Vasquez and S. Wallace).

"Property Tax Discrimination? Effective Property Tax Rate Differentials in Atlanta," Presented at the Southern Economic Association Meetings, New Orleans, Nov. 18-20, 1995.

### **Presentations for Community Boards/Groups (Selected)**

"Downtown Revitalization." Presented to the New Albany Rotary Club, December 2003.

"Regional Economic Performance: Employment, Earnings and Education in the Louisville Region." Presented to various groups from the former Soviet Union visiting the area through the Louisville Cultural Center, 2002.

"A Multi-level Perspective on the Regional Economy... Who are we? Who are we going to be?" Presented at the Southern Seven Workforce Investment Board Strategic Planning Session, New Albany, IN, April 22, 2002.

### **Discussant Activity**

The Session on Local and Regional Development Factors, Annual Meeting of the Southern Regional Science Association, Louisville, KY, 2003.

The Gender Issues in International Development Session, Annual Meeting of the Midwest Economic Association, Cleveland, OH, 2001.

The Size of Government Session, Annual Meeting of the Midwest Economic Association, Chicago, 2000.

The Taxation Session, Annual Meeting of the Southern Economics Association, Washington, DC, 1996.

### **Presentations at Teaching Conferences**

"Using Criterion-Based Grading in Economics Principles Courses" Presented at the 2005 University of Kentucky Economics Teaching Workshop, Lexington, KY, March 26, 2005.

### **Teaching Conferences/Workshops Attended**

"Beyond Course Content: Changing Hearts and Minds," ILTE Workshop, August 20, 2004.

"Effective Grading," ILTE/FACET Workshop, August 17, 2004.

"Making the Most of the First Day of Class," ILTE Workshop, August 19, 2003

"But I Did All the Work" Effective Group Work and Its Assessment, ILTE Workshop, August 22, 2003. Information from this workshop was used to develop the grading criteria used for the group project in E100.

Ninth Annual University of Kentucky Economics Teaching Workshop, March 22, 2003.

Building Learning Communities for Your Classroom and Campus, 7<sup>th</sup> Annual IUS Teaching Symposium, January 31, 2003.

Defining and Teaching Critical Thinking by M. Neil Browne, August 19, 2002.

Eighth Annual University of Kentucky Economics Teaching Workshop, March 2, 2002.

Sixth Annual Indiana University Southeast Teaching Symposium, September 29, 2001.

Seventh Annual University of Kentucky Economics Teaching Workshop, April 21, 2001.

Institute for Learning and Teaching Excellence, Peer Evaluation, Spring Semester 2001.

Building an Inclusive Campus Community: Transforming the Curriculum and Learning Diversity Outcomes, Workshop, March 16, 2001.

Fifth Annual Indiana University Southeast Teaching Symposium, September 23, 2000.

Sixth Annual University of Kentucky Economics Teaching Workshop, April 8, 2000.

Eighteenth Annual Spring Symposium: *Listening to the Learners Creating Contexts for Student Success*, Indiana University, Bloomington, April 7, 2000.

Faculty Development Seminar: *Teaching Well with Technology*, Indiana University Southeast, February 2000.

Fourth Annual Indiana University Southeast Teaching Symposium, October 2, 1999.

### **Teaching Grants**

Improvement in Teaching Grant to attend the National Science Foundation Short Course (3 days) on Geographic Information Systems, \$558.26.

## **SERVICE:**

### **University Service**

*2001-2004 Economic Outlook:* presentation over the economy of Southern Indiana and the Louisville, KY region, Indiana University Southeast, November of each year.

*2004-05 Strategic Management Committee* (chair): School of Business, Indiana University Southeast, Responsible for updating, implementing and tracking the School's strategic plan.

*Search and Screen Committee*, Dean of the School of Business, Indiana University Southeast, Fall 2002 – Spring 2003.

*2002-03 International Programs Committee*, Indiana University Southeast.

*2002-03 Council on Equity and Diversity*, Indiana University Southeast.

*Search and Screen Committee*, Economics Lecturer, Indiana University Southeast, May-June 2002.

*Broadening Leadership Initiative 2001-02*, Indiana University Southeast, A year-long seminar on leadership growth for faculty and staff at IUS.

School of Business Student Association, 2000-02, Faculty Sponsor.

*2000-03 Campus Facilities and Safety Committee*, Indiana University Southeast, Administrative Committee.

*2000-02 Honors Council*, Indiana University Southeast, A Faculty Senate Committee.

*2000-02 School of Business Resource Committee:* Responsible for identifying funding sources for the School's initiatives.

*School of Business Mission and Vision Committee:* Responsible for developing a new mission and vision statement, Indiana University Southeast, Spring 2000, and revising the mission and vision, Fall 2002.

*Search and Screen Committee:* Computer Programmer/Analyst, Indiana University Southeast, December 1999 -February 2000.

Presentation/Facilitated Discussion: "The Economics of Diversity," Indiana University Southeast, Annual Conference on Diversity, Nov. 12, 1999.

Presentation/Facilitated Discussion: "The Changing Role of Women in America," Women's History Month Presentation, Indiana University Southeast, March 23, 2000.

### **Academic/Professional Service**

*Referee:* Journal of Business Disciplines (2001, 2002, 2003), Review of Regional Studies (2001), State and Local Government Review (2002, 2004), Growth and Change (2004).

*Reviewer:* Houghton Mifflin Company, two chapters of a new Urban Economics text, March 2004.

*Reviewer:* Doctoral Dissertation Research Grant, U.S. Department of Housing and Urban Development, (grant

recipients receive a maximum of \$25,000 per grant), FY2003, FY2000.

*Reviewer:* Early Doctoral Student Research Grant, U.S. Department of Housing and Urban Development, (grant recipients receive a maximum of \$15,000 per grant), FY 2002.

*Reviewer:* Houghton Mifflin Company, Urban Economics text prospectus, June 2002.

### **Community Service (Selected)**

*Board of Directors*, Development New Albany (The New Albany Organization of the National Main Street Association), June 2000-present. Secretary of the Board, August 2002-December 2003.

*Leadership Southern Indiana*, 2002-03 class.

*Economic Restructuring Committee*, Develop New Albany, November 2000-present.

*New Albany Citizen's Academy*, A seven-week course on New Albany local government, Fall 2000.

*Downtown Development Plan Steering Committee*, New Albany, IN, June 2000-present.

*New Albany Rotary Club*, June 2002-present.

### **LANGUAGES:**

Spanish: Working knowledge.

### **INTERNATIONAL ACTIVITY:**

Rotary International's Group Study Exchange Program (to Northeastern Brazil), May 7 - June 4, 2001, a professional exchange program to study Brazil's institutions and ways of life, one of four young professionals from Southern Indiana selected for the program.

**Alan Jay White, Ph.D.**

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School of Business  
Indiana University Southeast  
4201 Grant Line Road  
New Albany, IN 47150-6405  
(812) 941-2521 (O)  
jwhite04@ius.edu

4355 Country View Dr.  
Floyds Knobs, IN 47119

(812) 923-1173 (H)

**EDUCATION**

University of Mississippi, Ph.D., Finance (minors in International Finance and Quantitative Methods), 1996. Dissertation: "The Pricing of Interest Rate Futures Options with Futures Style Margining: A Genetic Adaptive Neural Network Approach."

University of Louisiana – Monroe, MBA, 1991.

University of Louisiana – Monroe, BBA, Finance/Commercial Banking, (Minor Economics), 1989.

**UNIVERSITY FIELDS OF INSTRUCTION**

Undergraduate: Introductory and Intermediate Financial Management

Graduate: Introductory (core), Advanced Financial Management and Investment Management

**WORK EXPERIENCE**

Indiana University Southeast, Associate Professor of Finance, July 2004 to present.

Indiana University Southeast, Assistant Professor of Finance, July 1998 to June 2004.

Murray State University, Assistant Professor of Finance, August 1996 to May 1998.

Murray State University, visiting lecturer, August 1994 to July 1996.

University of Mississippi, Graduate Assistant, research and teaching, 1991 to 1994, Instructor (summers), 1992-1995.

University of Mississippi, Computer Consultant/Procurement Officer, 1992 to 1994.

Northeast Louisiana University, Graduate Assistant, research and teaching 1989-91.

American Life Insurance Company, Sales, 1987-89.

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## HONORS AND EDITORSHIPS

Editor, *Journal of Business Disciplines*, September 2004 to present.

Excellence in Teaching Award, 2001, Indiana University Southeast School of Business

Best Paper in Futures & Options at the Midwest Finance Association's 1998 conference. The award was sponsored by The Chicago Board of Trade's Education Research Foundation.

## RESEARCH

### **Reviewed Journals**

"Measuring Pricing Inefficiencies under Stressful Market Conditions," with Louis Cheng, *Journal of Business Finance and Accounting*, Vol 30(3&4), April/May, 2003, pp. 383-411.

"Methodological Approaches to Mutual Fund Performance Evaluation," with Louis Cheng, David Brasfield and Dwight Anderson, *The Journal of Business & Public Affairs*, Fall 1999, Vol. 26, No. 1.

"A Genetic Adaptive Neural Network Approach to Pricing Options: A Simulation Analysis," March/April 1998, *The Journal of Computational Intelligence in Finance*, 6(2), pp. 13-23.

"The Excess Return Behavior of Domestic and Foreign Pharmaceutical Stocks - A Call for Increased Regulation?," with Gay B. Hatfield, January 1995, *Southern Business and Economic Journal*, 18(2), pp135-149.

### **Book**

*Pricing Options With Futures-Style Margining: A Genetic Adaptive Neural Network Approach*, Garland Publishing, 2000.

### **Reviewed Proceedings**

"The Disposition Effect: An Analysis Across Selected Personal Characteristics, Price Patterns and Active Feedback," *Proceedings of the Academy of Business Disciplines 2004 Meeting*, with Alan Wong and Bernie Carducci.

"The Loss Aversion Effect: Evidence Across Gender and Risk Tolerance Levels," *Proceedings of the Academy of Business Disciplines 2001 Meeting*, with Alan Wong.

"Option Pricing with Futures-Style Margining: A Neural Network Approach," with Gay Hatfield and Robert Dorsey, *Proceedings of the 6th Annual Global Finance Conference*, 1999, Istanbul, Turkey, pp 105 – 107

**Presentations**

"The Disposition Effect: An Analysis Across Selected Personal Characteristics, Price Patterns and Active Feedback," Academy of Business Disciplines National Conference, November 11-13, 2004

"Predicting Bond Rating Changes," Academy of Business Disciplines National Conference, November 8-10, 2001.

"The Loss Aversion Effect: Evidence Across Gender and Risk Tolerance Levels," Academy of Business Disciplines, November 8 – 10, 2001.

"Tiger Woods, Michael Jordan and Celebrity Endorsements – Do They Increase Shareholder Value?," with Gay Hatfield, Academy of Business Disciplines, November 8 – 10, 2000.

"Measuring Pricing Inefficiencies under Stressful Market Conditions," with Louis Cheng, Financial Association International European Meeting in Edinburgh, Scotland, May 25 – 26, 2000.

"Measuring Pricing Inefficiencies under Stressful Market Conditions," with Louis Cheng, Midwest Finance Association Annual Meeting, March 31 – April 2, 2000, Chicago IL.

"Measuring Pricing Efficiencies Under Extreme Market Conditions," co-authored with Dr. Louis Cheng. Southern Finance Association Annual Meeting in Key West, Florida on November 18, 1999.

"Option Pricing with Futures-style Margining: A Neural Network Approach," co-authored with Dr. Gay Hatfield, Global Finance Conference in Istanbul, Turkey, April 7 – 9, 1999.

"A Genetic Algorithm Approach to Pricing Options with Futures-Style Margining," with Gay Hatfield, Multinational Finance Society Annual Meeting in Helsinki, Finland June 24 – 27, 1998.

"Option Pricing with Futures-Style Margining: A Neural Network Approach," co-authored with Dr. Gay Hatfield, Midwest Finance Association Annual Meeting in Chicago, March 1998.

**PROFESSIONAL PROGRAMS**

Midwest Finance Association, Discussant for "How High are Investment Banking Fees? The Case of Standby Underwritten Convertible Calls," March 31 – April 2, 2000. Also served as discussant for "Foreign Exchange Risk & Market Integration in Asia-Pacific Emerging Markets: A Multivariate GARCH in Mean Approach.

Southern Finance Association, Discussant for "The Hot Issue Market Phenomenon and Business Conditions," in Session 5-2 on November 19, 1999.



Financial Management Association. Served as paper discussant for Session 218 at the 1998 annual meeting in Chicago, October 1998

Midwest Finance Association. Served as moderator for Special Session: "Economic Foundations of Capital Market Returns," in Chicago, March 1998

Discussant, "On the Predictability of Stock and Bond Returns; Implications for Market Efficiency," Midwest Finance Association Meeting, March 20 - 22, 1997.

Discussant, "A Comparison of Trading Techniques of Technical Analysis for Commodities," Southwestern Finance Association Meeting, March 11 - 15, 1997.

Discussant, "Evaluating Alternative Neural Network Models for Classifying and Predicting Performance of Banks," Midwest Finance Association Meeting, March 21 - 23, 1996.

Discussant, "Optimal Bookmaker Pricing and the Efficiency of the Baseball Betting Market," Financial Management Association Meeting, October 19 - 21, 1995.

### **COURSES TAUGHT**

1. Financial Management (F301), Indiana University SE.
2. Financial Management (C522), MBA, Indiana University SE.
3. Investment Management (E557), MBA, Indiana University SE.
4. Advanced Financial Management (E595), MBA, Indiana University SE.
5. Financial Decision Making (F302), Indiana University SE.
6. Money & Banking (FIN 303 and ECO 303), 1993-1994, juniors, University of Mississippi.
7. Corporate Finance (FIN 331), Summer 1993, juniors and seniors, University of Mississippi.
8. Corporate Finance II (FIN 431), Summer 1994 & 1995, seniors case class, University of Mississippi.
9. Principles of Finance (FIN 330), juniors and seniors, Murray State University.
10. Corporate Finance (FIN 602), MBA, Murray State University.
11. Commercial Banking (FIN 537), seniors and MBA, Murray State University.
12. Multinational Corporate Finance (FIN 461), juniors and seniors, Murray State University.
13. Financial Markets & Institutions (FIN 334), juniors and seniors, Murray State University.
14. Financial Markets & Institutions (FIN 634), MBA, Murray State University.
15. Managerial Finance (F332), juniors and seniors, Murray State University.
16. Principles of Investments (F333), juniors and seniors, Murray State University.
17. Investment Management (F632), MBA, Murray State University.
18. Analytical Methods in Finance (F633), Masters, Murray State University Hong Kong MS in Economics Program, taught in Hong Kong.

March 24, 2005

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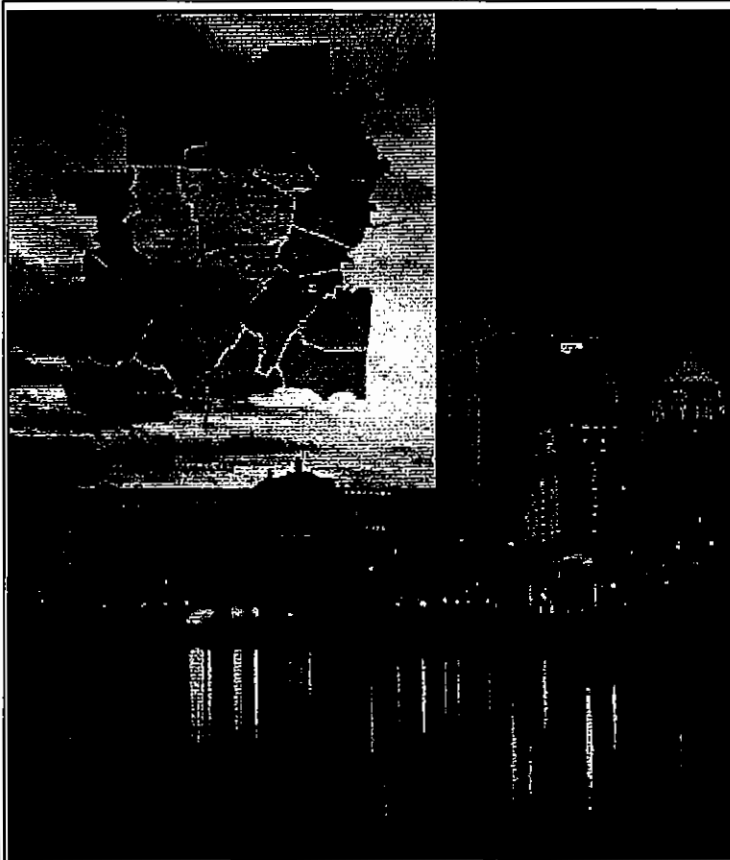
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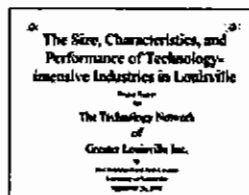
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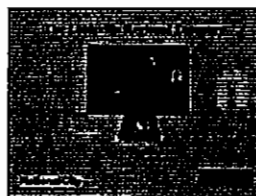
## Regional economy

**The Size, Characteristics, and Performance of Technology-Intensive Industries in Louisville (July 2003)** A report for The Technology Greater Louisville, Inc.

[Full Report](#)

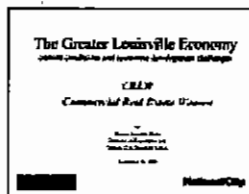


[Associated Presentation](#)



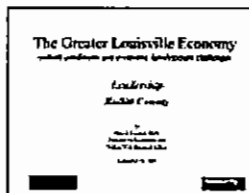
**The Louisville Regional Economy (April 2004)** A presentation Indiana focusing on Harrison County.

[Presentation](#)



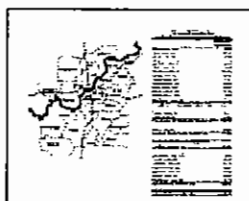
**The Greater Louisville Economy: current conditions and development challenges (September 2003)** A presentation for Commercial Real Estate Women.

[Presentation](#)



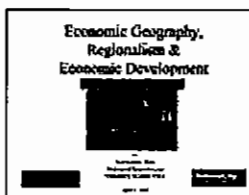
**The Greater Louisville Economy: current conditions and development challenges (September 2003)** A presentation for Bullitt County.

[Presentation](#)



**New Louisville MSA and Economic Area Definitions with Commuting Patterns within 23 County Area (June 2003)**

[Tables, Charts, Map](#)



**Economic Geography, Regionalism, & Economic Development (April 2003)** A presentation for Leadership Louisville.

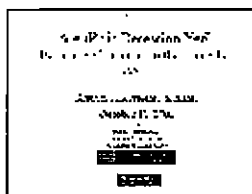
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**Are We in Recession Yet? Economic Conditions in the I Area (October 2001)**

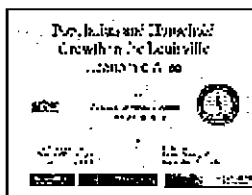
[Powerpoint Presentation](#)





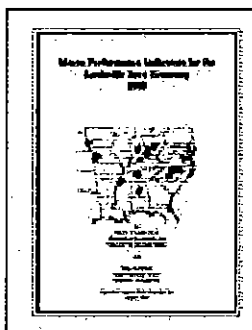
***Population and Household Growth in the Louisville Economic Area (October 2001)***

**Powerpoint Presentation**



***Macro Performance Indicators for the Louisville Area E 2000 (March 2001)*** Update of our 1995 report. Research sponsored by

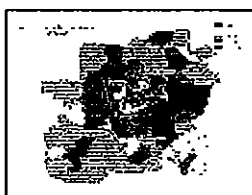
**Full Report**



***Population by Census Tract for Counties in the Louisville Area, 1990 and 2000, with household forecast for 2020***

**Table of data**

**Accompanying map of household change**



***A whole bunch of maps based on results of the 2000 Census***

**The 23 Counties in the Louisville Economic Area**  
**Population of the Louisville Economic Area, 2000**

**Population Change in the LEA, 1990-2000**

**Population Gains in the LEA, 1990-2000**

**Population Losses in the LEA, 1990-2000**

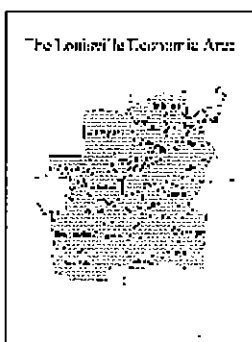
**Change in Households by Census Tract in the LEA, 1990-2000**

**Change in Household Population by Census Tract in the LEA, 1990-2000**

**Population Change in Jefferson County, 1990-2000**

**Population Gains in Jefferson County, 1990-2000**

**Population Losses in Jefferson County, 1990-2000**



***Louisville Economic Area County Profiles (all the economic and demographic information you'd ever want to know about the counties that make up the LEA) (August 2000)***

**Full Report**




***Jefferson County Forecasts of People, Jobs, and Housing 2020 (September 1995)***



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## Workforce and human capital



**Kentucky Postsecondary Education and Economic Development** (May 2004) Presentation for the Council on Postsecondary Education

[Powerpoint presentation](#)



### Kentuckiana Occupational Outlook

[Overview](#)

[Methodology](#)

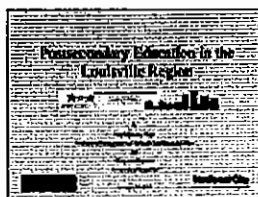
[Data Descriptions](#)



**Kentuckiana Occupational Outlook** (September 2004) Research sponsored by KentuckianaWorks, Greater Louisville's Workforce Investment Board

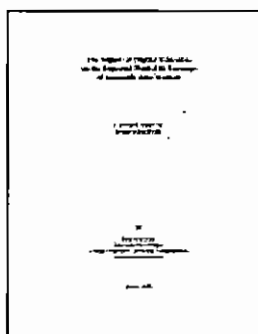
[A link to the KentuckianaWorks web site containing an interactive tool which provides detailed info on career](#)

[Greater Louisville bi-state region](#)



**Postsecondary Education in the Louisville Region** (January 2004) Research sponsored by Kentuckiana Works

[Presentation](#)

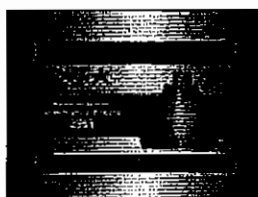


**The Impact of Higher Education on the Expected Work Earnings of Louisville Area Workers** (July 2003) Research by Kentuckiana Works

[Full Report](#)



[Tables 4 & 5 \(present values\)](#)

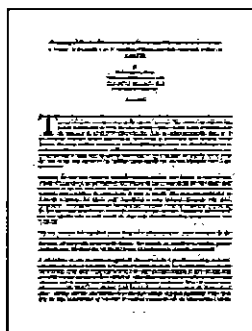
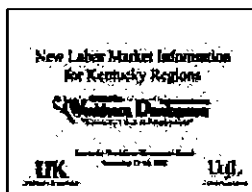
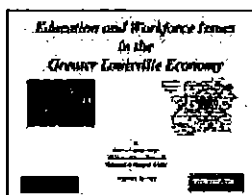
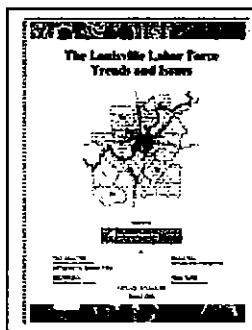


**The Louisville Labor Force: Report on the State of the Region's Workforce 2003** (April 2003)

[Full Report](#)





**Funding of Public Elementary and Secondary Education in Kentucky: A Primer on Kentucky's K-12 Funding Policies**

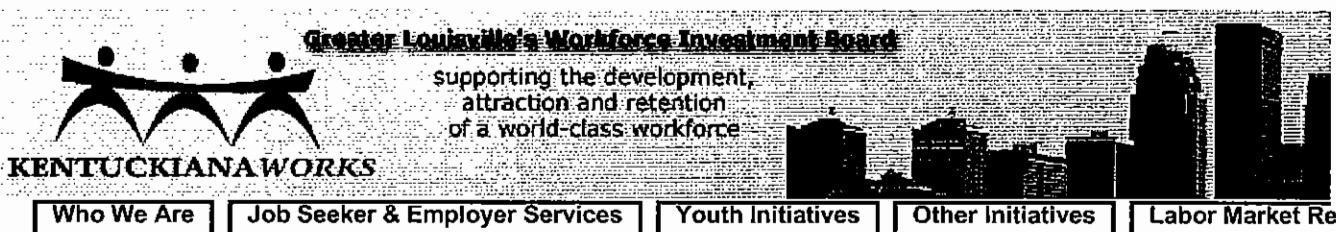
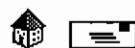
***Economic Effects on Louisville (April 2003)*****Full Report*****New Labor Market Information for Kentucky Regions,  
for Kentucky Workforce Investment Board (November 2002)*****Presentation*****Education and Workforce Issues in the Greater Louisville  
(September 2002)*****Presentation*****The Louisville Labor Force: Trends and Issues (March 2002)*****Full report**

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**Occupational Outlook**[Overview](#)[Methodology](#)[Data Descriptions](#)[Contact Us](#)**Kentuckiana Occupational Outlook**

This website provides detailed career information for the Greater Louisville bi region, including the education and skills required for success. It helps individuals make informed career and educational choices, and assists educators, and workforce/economic development professionals with career counseling and site planning.

Tuesday, June 14, 2005

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All Occupations

- ☒ job growth ranked by percentage change  
☐ job growth ranked by number of jobs

**Search****INCLUDED IN THIS WEBSITE****Louisville Area Career Information**

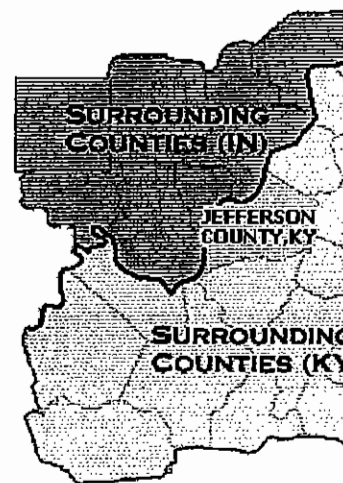
- ✓ Job growth rates (10-yr. projections)
- ✓ Occupation descriptions
- ✓ Wage rates and benefits
- ✓ Required education and skills
- ✓ Related occupations
- ✓ Links to local education provider websites! **NEW!**

**FASTEST Growing Occupations!**

	Occupation	Median Salary	# of Jobs in 2012	Projected Growth 2002-12
1	<a href="#">Medical Assistants</a>	\$23,330	3,110	↑ 61%
2	<a href="#">Social and Human Service Assistants</a>	\$24,450	1,939	↑ 52%
3	<a href="#">Network Systems and Data Communications Analysts</a>	\$54,410	243	↑ 51%
4	<a href="#">Physician Assistants</a>	\$78,750	499	↑ 51%
5	<a href="#">Personal and Home Care Aides</a>	\$17,170	3,166	↑ 50%
6	<a href="#">Self-Enrichment Education Teachers</a>	\$24,220	753	↑ 50%
7	<a href="#">Medical Records and Health Information Technicians</a>	\$23,010	365	↑ 49%
8	<a href="#">Home Health Aides</a>	\$19,910	1,166	↑ 48%
9	<a href="#">Physical Therapist Aides</a>	\$20,210	279	↑ 47%
10	<a href="#">Occupational Therapist Assistants</a>	\$36,300	128	↑ 45%

Just click on the occupation to go to educational/training information.

Click on a region below to view a list of the fastest growing occupations.





## **Thayr Richey, Ph.D. Bio**

Thayr Richey is president of Strategic Development Group, a firm that specializes in community-based economic development. Thayr has had a wide range of experience in both the government and the private sector. He has served as executive director of the Indiana Department of Commerce, the director of economic development for Hoosier Energy, the executive director of the Bloomington Economic Development Corporation, and the director of the Governor's Initiative on Economic Development.

Over the past two decades, Thayr has been involved with hundreds of economic development projects. Thayr has spoken on community and economic development to a variety of audiences in the United States and abroad. His writing on economic development includes the topics of planning, workforce development, new business recruitment, retention & expansion and export promotion.

### **Employment History**

**1991-Now    President, Strategic Development Group, Inc.**

**1989-1991    Executive Director, Indiana Department of Commerce**

**1988-1989    Director of Economic Development, Hoosier Energy, REC**

**1984-1988    Executive Director, Bloomington Economic Development Corporation**

### **Education**

1969    B. A., Centre College of Kentucky, Danville, Kentucky

1980    Ph.D., Indiana University, Bloomington, Indiana

### **Selected Publications and Speeches**

"The U. S. LEDO: A New Model for Economic Growth in Developed Countries," International Economic Development Conference. Seville, Spain. October 1993

"Creating an Export-Led Economic Development Strategy," Indiana Chamber of Commerce. Indianapolis. 1995.

"A Brief Look at the Bloomington Economy," *Indiana Outlook*, Indiana University. Indianapolis. November 2004.

### **Contact Information**

Thayr can be reached at 800-939-2449 or at [trichey@sdg.us](mailto:trichey@sdg.us).



## STRATEGIC DEVELOPMENT GROUP INCORPORATED

2901 N. Walnut Street · Bloomington, IN 47404  
800-939-2449 · 812-331-1282 · Fax 812-331-1285 · info@sdg.us · www.sdg.us



*helping communities & organizations thrive since 1991*

## Professional Resume

Strategic Development Group, Inc., was founded in 1991 by Thayr Richey, Ph.D. An accomplished Indiana economic and community development professional, Dr. Richey has served as executive director of the Indiana Department of Commerce, as a member of the South Central Indiana WIB and as president of the Indiana Economic Development Association.

Now one of Indiana's most respected consulting firms, SDG has worked in more than 100 communities, helping businesses, governments, and community-based organizations on strategic planning, research, management and economic development projects.

The secret to our longevity is helping clients develop strategies that are realistic and easy to implement. Our final recommendations incorporate current and anticipated economic development trends, as well as new directions in other areas of society.

Our projects have a built-in guarantee of quality: we will not stop working until you are satisfied.

This professional resume highlights some of SDG's clients and projects and provides bios of our staff.



Strategic Planning  
Economic Development  
Economic Impact Analysis  
Downtown Revitalization Studies  
Education Evaluation  
Needs Assessment  
Communication Studies  
Workforce Development  
Board Development  
Project Management  
Community Visioning  
Business Transition Analysis  
Rural Development  
Military Base Impact Analysis  
Grants Writing and Management  
Redevelopment Planning  
Housing Needs Assessment  
Recreation and Tourism Development  
Agricultural Analysis and Evaluation

### CONTENTS

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# From Our Clients

**"We wanted to have outside assistance to guide our planning process to maximize input from all areas of our company. This has been accomplished with our planning session and culminated with the Summary Report. We now have a road map to guide our efforts. Thanks to SDG, Basiloid Products has a plan to help us reach our goals."**

Gerald A Frette  
President  
Basiloid Products Corp.



Inside the Basiloid plant

**"Our CDC was impressed with SDG's work on our housing needs assessment. Their research methods are both professional and practical."**

Pat Cockrum, Sycamore Services, Inc. ;  
President, Hendricks County Community  
Development Corporation

**"Please accept this in recognition and appreciation of the outstanding assistance SDG gave in [Lawrence County's] recent Economic Development Summit. We are still getting rave reviews and great publicity from our local media. We are confident that your leadership, experience and great direction are the reasons for our success. We knew what we wanted to happen—SDG made it happen."**

Adele Bowden-Purlee, President  
Bedford Area Chamber of Commerce

**"[SDG's] economic development section of our downtown strategic master plan was the critical segment in our program."**

Norman Reimondo, Director of  
Economic Development Crawfordsville,  
IN

**"As the staff for the Southern Indiana Rural Development Project, over the years SDG has provided crucial support for our committees and projects. They have consistently given us our money's worth when it comes to administering the organization. They've done a great job in raising funds for our projects, too."**

Randy Haymaker, Board Member  
Southern Indiana Rural Development  
Project

**"Through a broad convening process, LCCF built relationships with key organizations and individuals, stimulated participants to envision and work toward a better community, and distilled top community priorities for getting from here to there. It is so rewarding and so befitting our mission to engage in this type of leadership activity. We could not have done it without SDG."**

Shari Woodbury  
Lawrence County Community  
Foundation

**SDG did a great job for the Wabash Valley. SDG listened, surveyed the community, conducted focus groups and kept us all on task. When all the data collection was complete they provided us with a concise action plan and grant proposal. All this in just 6 months!!! SDG Consulting has been wonderful to work with."**

Liz Metzger  
Collaboration Chair, Vigo County  
Early Childhood Literacy Specialist  
Community Coordinated Child Care

**"I want to thank SDG for the exceptional work they did for our 4community Grant. I must say that I have had nothing but exceptionally fine dealings with the Strategic Development Group. Deadlines are always met, and the quality of the work has been superb."**

Jeffrey O. Garrett  
Executive Vice President  
Madison Area Chamber of Commerce

**"From our initial contact with Brian O'Neill and SDG, I have been impressed with their professionalism and their ability to work with a diverse group of community leaders. I appreciated the leadership and experience of SDG, as well as their availability whenever help was needed – all with a friendly, personal touch. The finished products from the planning process are thorough and professional reports that Miami County will be using for years to come. Thank you, Brian, and SDG for providing us with such practical tools to better our community!"**

Roni Plath  
Collaboration Coordinator  
Miami County Partners 4community  
Growth



# A Sampling of SDG Projects

## Akron Community Development

SDG worked with leaders and residents of this town of 1,000 people to determine the priority development needs. We then researched how to attract a franchise from a national restaurant chain, putting town leaders in touch with store officials from department store chains who were actively looking to locate in small towns. SDG also assisted the town in creating a realistic plan for recruiting a dentist.

## Basiloid Products Corp. / SI G Business Transition Audit

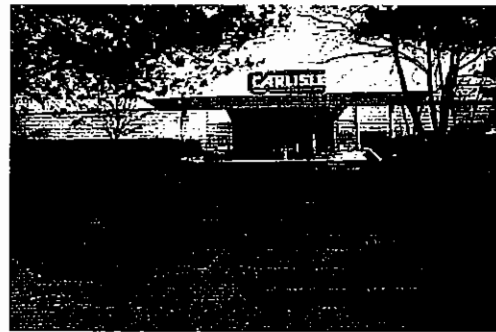
SDG led this 50-year-old Indiana manufacturer through SDG's Business Transition Audit program, which enabled their management and staff to re-think the company's vision, analyze recent changes in its industry, consider future economic trends, and articulate key issues for its work force, its front office operations, its production facility, and marketing and sales.

## Bloomington Economic Development Council Targeted Industry Report

SDG interviewed dozens of Monroe County residents involved in the local economy to help determine the most appropriate industrial sectors for the BEDC to target. SDG developed a list of potential industrial targeted sectors and, through extensive analyses and meetings with the organization, identified sectors for targeting. SDG then presented the BEDC with a list of specific company names for implementing a targeted marketing campaign.



SDG helped the Brown County CofC formulate a county-wide economic development strategy.



Enterprise zone business in the BUEA survey.

## Bloomington Urban Enterprise Association (BUEA) Survey

SDG surveyed enterprise zone businesses about their employment needs and made recommendations to the BUEA. SDG coordinated a second effort that involved surveying zone residents by blanketing the entire enterprise zone through a door-to-door campaign. Nearly 1,000 Monroe County residents responded. SDG aggregated and analyzed the results and made recommendations to the BUEA Board.

## Brownfields Redevelopment – Town of Elnora

SDG, serving as the staff for the not-for-profit Southern Indiana Rural Development Project, steered town leaders through the process of redeveloping a rural brownfields site. We helped bring together elected officials, the property's owner and economic development professionals to design a plan. We wrote a successful grant application that resulted in Elnora receiving state money to assess environmental damage on the site. The eventual sale and redevelopment of the land will create local jobs and increase the community's tax base.

## Child Care Challenge Project

SDG facilitated a community-based planning project for the provision of child care in Monroe County. Through a year-long collaborative effort between Head Start and Step Ahead, a community-wide assessment and plan was devised. Implementation of the project was funded through the Family and Social Services Administration. The project was chosen as a model for community-based planning by the Administration for Children and Families and was presented at the 1997 Midwestern Hub Regional Conference.

### **City of Scottsburg, Affordable Housing Study**

SDG worked with Sieco, Inc. to conduct a feasibility study for affordable housing in the City of Scottsburg. SDG conducted a needs analysis by studying the existing housing stock, evaluating housing statistics concerning home sales, and making recommendations on the most appropriate and necessary level of housing stock for the community. Sieco, Inc. determined an appropriate site for construction and worked with SDG to evaluate the site and provide the necessary analysis and plan of action to proceed with the construction of affordable housing.

### **Common Wage Survey**

For the Indiana Department of Workforce Development, SDG collected and analyzed thousands of construction wage surveys to determine common wage rates in all Indiana counties. DWD uses these wage rates in state-funded construction projects.

### **Head Start Grants**

Under tough time constraints, SDG worked with the director of Monroe County Head Start to complete three grant applications. One was for expansion to full-day, full-year care slots, another for expansion to serve new populations, and a third to bring Early Head Start to Monroe County.

### **Evansville Housing Authority Youthbuild Feasibility Study**

SDG performed research and analysis for the Housing Authority to determine the feasibility of training youths to increase the affordable housing stock in an urban area. Over a five-month period, SDG conducted strategic planning retreats and focus groups with a wide range of community leaders. The project also included data collection and analysis. The final report detailed the feasibility of creating a Youthbuild program.



**SDG help Hoosier Hills Vocational School with a strategy to meet area needs.**

### **Fort Wayne Economic Development Planning**

In the spring and summer of 2000, SDG facilitated a planning process for the City of Ft. Wayne. We worked with a steering committee and nine task forces addressing different aspects of economic development, including workforce development and education. The result was a prioritized set of action plans to create economic prosperity in the eight-county region. Implementation is currently underway.



### **Hendricks County Housing Needs Assessment**

Working with a local community development corporation, SDG studied housing conditions in Hendricks County. SDG gathered demographic data; interviewed realtors, developers, and local elected officials; held public meetings; analyzed the housing market; and surveyed the general public. The final report highlighted strategies and existing resources available to meet the needs.

### **Hoosier Hills Vocational Education Strategy**

SDG researched best practices, facilitated strategic planning retreats, interviewed educators, and developed Hoosier Hills' plan to address vocational education needs in the area.

### **Impact Analysis of Crane Naval Base**

Working with the Institute for Development Strategies (Indiana University – School of Public and Environmental Affairs) and the Southern Indiana Business Alliance, SDG completed a comprehensive analysis of Crane's impact on Indiana and an eight-county region. Economic impact analyses completed by SDG detailed Crane's impact on jobs, wages, and tax revenues for its current operations, recent downsizings, and a projected expansion. We also reported on Crane's impact on education, community outreach, environmental leadership, and technology in the region and state.

### **Indiana Main Street Communities**

In this benchmark study, SDG assessed the needs of 163 Indiana downtown revitalization efforts. Results of this study will enable the IDOC to measure progress on different fronts as Indiana communities reinvigorate their downtowns.

### **Indiana Hazardous Waste Facility Site Approval Authority**

SDG prepared and presented a socio-economic evaluation of a hazardous waste landfill expansion application for a certificate of environmental compatibility. The evaluation, which involved analysis of the expansion's effect on housing values, local, state and regional economies, and public perception of risk, was presented during public hearings.

### **Jackson County Local Planning Council**

SDG worked with a range of stakeholders, including the Jackson County Office of Family and Children, to develop the welfare-to-work plan for Jackson County's Local Planning Council. The result was a comprehensive, county-wide program for at-risk children. Dozens of counties sought funding to implement their plans; Jackson County was one of a handful that received it.

### **Jay County Development Corporation – Community Vision**

SDG facilitated a one-year community visioning and economic development planning process designed to draw input from all of the many communities within the county. The final plan listed projects to improve the county's overall quality of life, including retaining high school graduates, improving roads, increasing the stock of affordable housing and retaining existing companies.

### **Johnson Co. Childcare Provider Survey**

In 1996, SDG worked with the Partnership for a Healthier Johnson County through the United Way of Johnson County to gather and format survey data. The data included 38 categories from the Worksheet for Statistical Information Needed for the Daycare Committee.

### **Marketing Strategy for Kokomo – Howard County Development Corporation**

SDG reviewed community strengths and weaknesses, KHCD's current marketing materials, and allies' marketing plans. We created a comprehensive marketing strategy for KHCD,

including a detailed schedule of activities. SDG also provided a list of companies in the target sectors for use in KHCD's attraction efforts.



An evaluation of the Hoosier Healthwise Health Care Program was another SDG project.

### **Monroe County Community Prevention Coalition**

During its last six months in operation under the multi-year grant that started the Coalition, MCCPC found itself without a director. SDG stepped in to coordinate grant close-out activities, supervise staff, facilitate task force meetings, and write final grant reports.

### **Monroe County Step Ahead Council, Inc.**

SDG was the local coordinator for this council, which acts in partnership with state and local government to administer several funding streams in Monroe County and to coordinate service planning for children and families. The Local Planning & Coordinating Council (LPCC) of Monroe County First Steps is a committee of Step Ahead and was coordinated by SDG as well. Among other duties, we wrote at least four grants per year for Step Ahead.

### **Organizational Assessments for Community Foundations**

SDG assisted ten community foundations in "taking stock" of their organizations. Board surveys, interviews and focus groups with community members, and planning retreats provided a well-rounded assessment. In addition to completing reports for the funder of the assessments, SDG provided each foundation with a report outlining next steps and providing models for continued organizational development.

## Mayoral Planning Programs

SDG has held several planning retreats for the Mayors' staffs and other key city personnel in reorganization programs in Bloomington, Jeffersonville and Greencastle.

## Owen County Learning Network

In this project, SDG worked with board members from the Owen County Community Foundation, superintendents of each of the school districts serving the county, and other stakeholders. SDG played several roles, including: assessing the county's educational needs; developing a plan for the Owen County Learning Network, including programs for school preparation, K-12 school success, and lifelong learning; obtaining public input, such as through public meetings and surveys that were distributed to workers at local churches and the county fair; and writing a successful \$3.1 million grant to the Lilly Endowment to fund start-up of the network.



**The City of Columbus and Bartholomew County formulated a housing strategy with SE G's help.**

## Planning for Wraparound Social Services

SDG helped steering committees in Brown, Lawrence, and Jackson Counties begin creating a wraparound system—a coordinated process by which schools, social service agencies, the courts, and others work together to better meet the needs of children and families. After start-up, the integrated system will help each county contain costs at the same time that families are better served. SDG has also provided planning services to Monroe County Wrap-Around.

## Reuse Study on Central State Hospital

SDG completed a reuse study of Indianapolis' Central State Hospital for the Indiana Department of Administration (IDOA). We tested various development ideas in the marketplace, discovering that there was no clear market demand for the site as it currently existed. SDG helped state officials devise a plan to make the land more saleable while waiting for market demand to reach that corner of Indianapolis. A "reality check" helped save the state, city and neighborhood the loss of a valuable asset through piecemeal redevelopment.

## Ripley County Workforce Survey

SDG worked with the Ripley County Economic Development Corporation to determine workforce needs and the county's workforce profile, thereby allowing community leaders to ensure that workforce development issues are addressed both in the short and long-term.

## Scott County Learning Center

SDG steered the planning process, which included creating a strategy and establishing the physical facility. The Center provides learning opportunities to residents of all ages, for the first time making post-secondary education and training opportunities available in the county.

## Southern Indiana Rural Community Website Project

SDG facilitated the development of five community websites in rural Southern Indiana, which involved extensive strategic planning as well as technical instruction.

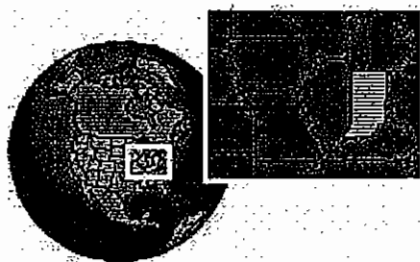
**Southern Indiana Rural Development Project, Inc.**

SDG has managed this 34-county organization for ten years and has led the 30 board members toward achieving their goal of improving the economy of rural Southern Indiana. SDG coordinates the activities of the SIRDP board and advisory board (100 members), along with nine task forces and five standing committees. SDG is responsible for preparing financial reports, keeping minutes of all meetings, communicating with the boards, managing all logistics, filing tax forms, fundraising (grant writing), and project development and implementation. SDG has brought in hundreds of thousands of dollars for SIRDP through grants from organizations such as Ameritech, the U.S. Department of Agriculture, Indiana Department of Commerce, and Indiana Housing Finance Authority, and the Lilly

Endowment.

### **Southern Indiana Economic Development Council Targeted Industry Analysis**

SDG coordinated an analysis of the four-county region of Clark, Jefferson, Scott, and Harrison Counties. The activities involved ten task forces that all focused on determining the most comprehensive and holistic approach to industrial recruitment for this region.



SDG works with communities & organizations throughout the state and region.

### **Tennessee Association of Business Foundation**

SDG conducted an analysis of the direct and indirect economic impact of a proposed statutory change to Tennessee corporate tax law that would result in double-weighting of the sales factor in the state's apportionment formula. SDG provided detailed calculations of projected changes in industrial output, payroll, new jobs, and state tax revenues.

### **U. S. 41 Growth Corridor New Business Recruitment Program**

SDG created an industrial recruitment marketing plan for this seven-county region which utilized direct mail vehicles including a map card, calendar, 21 site-specific post cards, response mechanisms, a toll-free number, and other pieces. Following the creation of the plan, the organization requested that SDG implement the 18-month program. Several major business visits followed the implementation of the plan.

### **United Way of Johnson County**

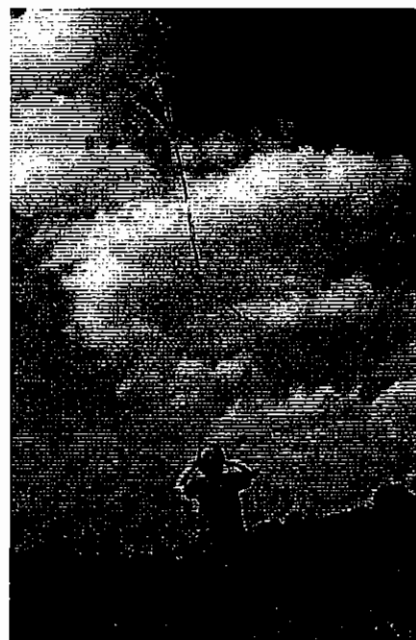
SDG helped the United Way office conduct a countywide needs assessment, including a scientifically valid phone survey of randomly selected residents. The highlight of the process was a daylong symposium where more than 100 local leaders helped set priorities for the future.

### **Youth Enterprise System (YES) Project for Bloomington Urban Enterprise Association**

SDG has substantial experience in developing curricula for training and education. SDG developed vocational education curricula for at-risk students through the YES Project which allowed students to participate in a summer business camp.

### **Youth Services Bureau**

SDG completed an organizational assessment of YSB during a sensitive transition period. Their executive director had been fired and their board of directors was dismissed by the county commissioners. SDG helped assess what organizational changes, including job descriptions, were needed to help the new staff and board.



SDG: Helping communities and organizations thrive since 1991.



# Recently Completed Projects

## Town Revitalizations

City of Crawfordsville, Strategic Master Plan  
Town of Corydon  
Town of Stinesville

## Economic Development Projects

Daviess County Visitor's Bureau Tourism Project  
Greene County Economic Adjustment Strategy  
Brown County Economic Development Strategy  
Dubois County Economic Development Strategy  
U. S. 41 Growth Corridor New Business Recruitment Program

## Economic Impact Analysis

City of Greendale TIF  
Adams County Super Walmart  
H. J. Umbaugh & Associates – Ameriplex  
Hoosier Energy – Orleans Annexation Plan  
City of Elkhart – Accra Pac Group

## Grant Writing and Administration

Dearborn County Foundation  
Hendricks College Network

## Housing Needs Assessments

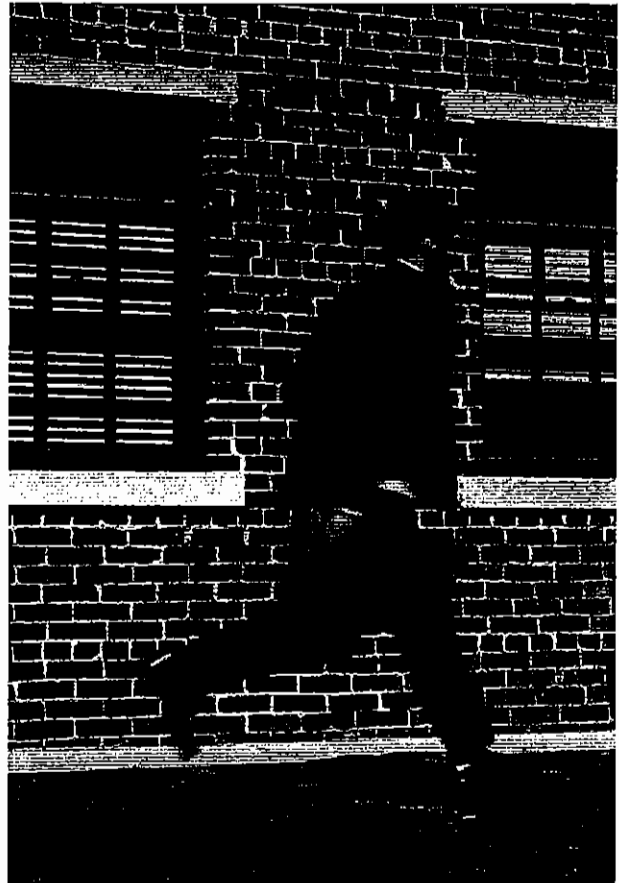
Columbus/Bartholomew County  
Dearborn County  
City of Elkhart  
Elkhart County  
City of Goshen  
Posey County  
Kokomo INTR Grant  
Bloomington INTR Grant

## Rural Development

Ohio River Valley Farm Marketing Conference  
Indiana Economic Development Council - Reduction in  
Tobacco Production and Adjustments

## Strategic Planning

Kokomo UEA Strategic Planning  
Connersville UEA Strategic Planning  
Miami County United Way 4Community Planning  
Jefferson County United Way 4Community Planning  
Wabash Valley United Way 4Community Planning  
Lifetime Resources, Inc. Strategic Planning  
Indiana Economic Development Council Planning Process  
Crane Technology Inc., Business Plan

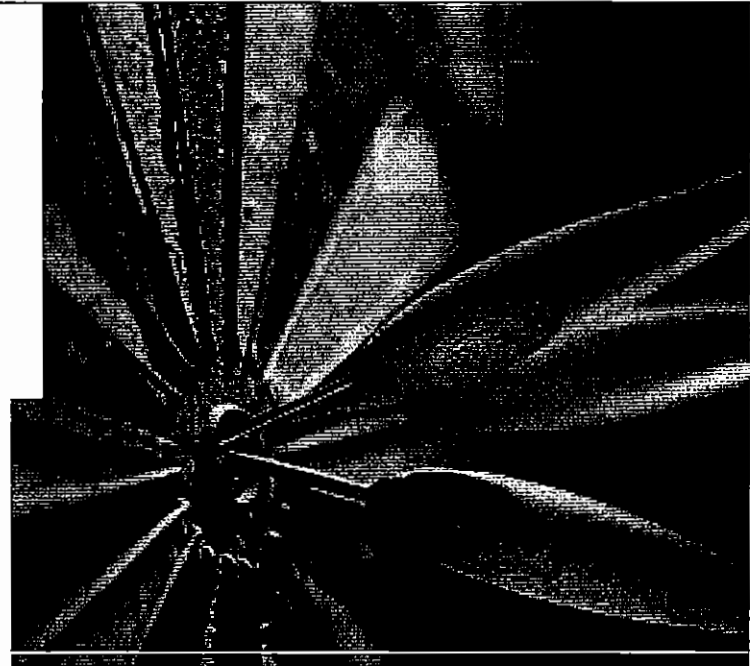


# Traditional Research

## Walker Information Product Spotlight

### Selected Walker Information Clients

Arnett Clinic  
 BAA  
 Deltek  
 Houghton Mifflin  
 Indiana Mills & Manufacturing  
 Leo Burnett Co  
 Madison Direct Marketing  
 Nature's Entree  
 Roche Diagnostics  
 rsc  
 Spellbound Productions  
 Thomson multimedia



"We have worked with Walker for many years and found their results to be **accurate and dependable**. Their **client service** is **excellent**, and we have come to **depend** on their *quick turnaround of important measurement information* to support some of our critical business decisions."

— Madison Direct Marketing

3939 Priority Way South Drive  
 Indianapolis, IN 46240-0972 USA

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[traditional@walkerinfo.com](mailto:traditional@walkerinfo.com)  
[www.walkerinfo.com](http://www.walkerinfo.com)

**WalkerInformation** 

Measuring Relationships  
 That Matter

"I am **extremely impressed** with the *quality of recruiting*, the *high standards of customer service*, and the *ability to be flexible* that Walker has **demonstrated** whenever we work with them."

— Leo Burnett Co.

In a free-market enterprise, collecting competitive intelligence information is a key business strategy. And, during difficult economic times, this knowledge becomes even more critical, especially in industries where the bottom line is heavily dependent on consumer opinion. At Walker Information, we have been conducting traditional market research for more than 60 years. As a global leader in our industry, our experience and expertise can provide your company with a competitive edge in the marketplace.

Walker's traditional research services are comprehensive. We can customize your research initiative to include any or all of the following elements:

- Research and survey design
- Multiple data collection methodologies
- Contact information management systems
- Sample weighting and testing
- Quantitative data processing
- Data analysis
- Statistical testing
- Results reporting
- Action planning
- Survey follow-up systems
- Best practices library databases
- Timely recruitment
- Facilitation of qualitative focus groups
- Mock jury trials
- Fielding in cities across the country

Walker's ability to offer mixed methodology designs in our research programs allows us to tackle each research situation independently based on your company's specific business application needs.

## About the Team Leader – Barb Miller, Group Vice President



Barb Miller (middle) leads a traditional research team with more than 45 years of experience.

Barb Miller is responsible for managing the daily operations of programs within Walker's traditional research group, including field and tab and in-person services. A research veteran in qualitative, quantitative and custom research, Barb works with a variety of national clients including Fortune 500 and 1000 product companies. Through her experience and knowledge of traditional market research, Barb provides insight for these clients to help them analyze and act on their specific research findings.

## How Walker Information Partners with Its Clients

A leading market services provider, **Madison Direct Marketing** utilizes database technologies to deliver effective communications to targeted consumer groups. In order to be effective for their customers, Madison Direct must have clean data in their distribution list. The quality of their database is a critical factor in the success of their marketing efforts and a primary concern of Madison Direct customers. As a result, Madison Direct routinely used Walker's services for list validation and to verify the accuracy of contact information. Walker also collects additional data to ensure that sample products are reaching the targeted households. With this service, Madison Direct clients maintain confidence that the target audience hears their message.

A highly established publisher of educational materials for all ages, **Houghton Mifflin** has helped shape ideas, information and instructional methods for more than 150 years. That long history of success can be attributed in part to their ability to understand and adapt their products to the changing needs in education. Houghton Mifflin used Walker Information to recruit teachers for focus groups so that they could learn more about the current needs within education and shape their products to effectively meet those needs. They understood the importance of listening to their largest consumer group and partnered with Walker to provide that research service.

## Key Research Solutions for Conducting Traditional Research

Walker Information offers comprehensive services and leading facilities for conducting traditional research that meets your company's needs.

- **Call Centers** – An advanced facility with more than 150 computerized stations and predictive dialing capabilities, Walker offers its clients the ability to conduct interviews in English, French or Spanish with respondents anywhere in North America, the United Kingdom, Australia or France.
- **Field and Tab Research** – A comprehensive approach to data collection and data processing utilizing the latest technology, Walker can meet your contacts wherever they are – via the Internet, by phone, through mail or in person.
- **In-Person Research** – A staff of professionally trained and experienced interviewers conduct face-to-face meetings to gain valuable feedback from your targeted audience.
- **Focus Groups** – A fully featured facility and professional staff will coordinate and facilitate qualitative group discussions to give you information that provides a competitive market edge.
- **Mock Jury Trials** – A leading facility and group of highly trained staff combine to provide quality recruiting services and moderation of mock jury trials.

"Walker made my **first experience** with this kind of service **very pleasurable**. They were **very professional** and **quite easy to deal with**. Walker **worked with us** to **produce** the results we needed from the data."

– Deltek

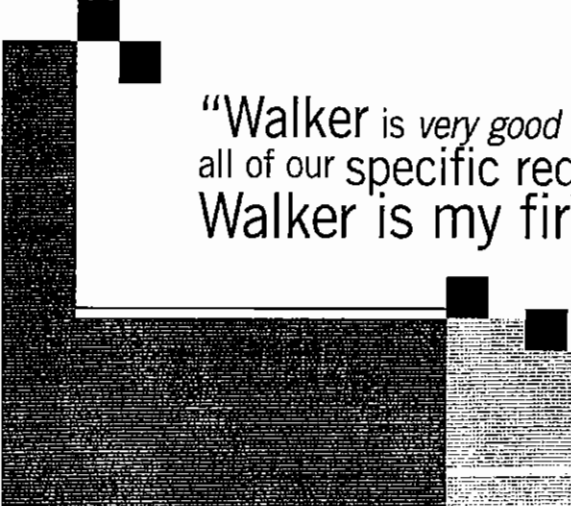


## Why Work with Walker Information?

When you compare research and consulting companies, Walker Information quickly distinguishes itself. The reasons are clear and convincing – Walker offers superior experience and expertise. As an innovator and thought leader in our industry, Walker Information has made significant advancements since our founding in 1939. However, as we have grown into a globally recognized company, we remain committed to providing exemplary service in traditional market research programs. Our valuable experience forms a strong foundation in traditional research methodologies, and combined with progressive technologies and an experienced staff, makes Walker an ideal partner for any research initiative.

More specifically, Walker Information offers you:

- **Comprehensive services** – Walker Information is a full-service market research firm with more than 60 years of experience. We can provide extensive services in traditional research and will customize your research initiative to meet your company's specific needs.
- **Information your company can use** – Our goal is to help you use research to make better business decisions. We'll provide you with objective and actionable information that can give you a competitive edge in the marketplace.
- **Technology solutions** – Walker is the leader in developing advanced technology tools for accurate and efficient research results – we conduct 600,000 Internet surveys annually. With the use of technology in our data collection and processing, Walker provides critical market research information delivered quickly and accurately.
- **Innovative direction and ideas** – Walker doesn't just do what customers ask of us, we make every effort to add value beyond the original assignment.
- **Dedicated account team** – Every research project is led by a senior-level researcher and supported by a dedicated account team chosen for their specialized knowledge and expertise. Our own customer loyalty measurement scores – including our 90% customer retention rate – assure us our account teams consistently go above and beyond the call of duty to provide outstanding customer service.



**"Walker is *very good* at **focusing on details**. They do a *great job* of meeting all of our specific requirements. Anytime we have work *in Indianapolis*, Walker is my first choice."**

– Houghton Mifflin

# Company Facts

## Walker Information at a Glance

Success in any business depends on your ability to establish, maintain, build, and protect relationships, especially with your customers. Yet, in today's highly competitive business environment, it's difficult to fully understand the dynamics of your customer relationships.

As the worldwide leader in customer loyalty management, Walker Information understands those challenges and provides you with numerous solutions to meet them. Walker's signature customer loyalty programs combine innovative technology applications with a practical reporting system to give you actionable information you need to better understand your customers and gain competitive advantage.

Walker's seasoned professionals provide customized solutions for your business, as well as expert analysis of key data. Senior-level researchers add specialized knowledge to account teams and Walker's award-winning Walker SmartLoyalty® System provides real-time customer data in an easy-to-use application. Once you're ready to start, Walker's experts can even help you integrate customer loyalty data across all levels of your company, through specialized assessment and alignment programs.

All of this allows Walker to help you:

- better understand your customers through targeted customer feedback
- recognize the difference between customer satisfaction and customer loyalty
- use customer loyalty information to create stronger client relationships
- build a better business by using key customer information to make strategic business decisions and create a successful business plan

The information Walker provides can give you a clear advantage over your competitors and help make your business even more successful.

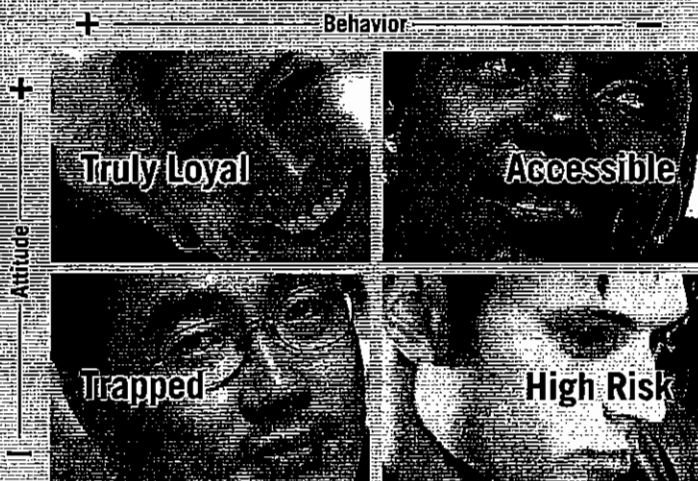
**Measure** your relationships with customers and other key stakeholders.

**Pinpoint** key areas for improvement and growth.

**Identify** your customers' key drivers of loyalty and commitment.

**Zero-in** on "at-risk" and other less loyal customers—identify them and take action before it's too late.

**Learn** how you compare to your key competitors.



Do you know where your customers fall? Using Walker Information's proprietary models, you can take targeted action to meet the needs of individual customers—and grow your business.

### Facts at a Glance

Founded	1989
Ownership	Private
President & CEO	Steve Walker
Employees	650
Headquarters	Indianapolis

**WalkerInformation**   
Measuring Relationships  
That Matter



# Company FAQs

## Walker Information at a Glance

### *Why should my company care about CLM?*

Customer Loyalty Management (CLM) can help you understand and serve your customers better. Improving your customer loyalty can help your company realize significant financial benefits, including reduced sales costs due to better client retention, increased profitability through expanded relationships, and new revenue from customer referrals.

### *Is there any business value to managing customer loyalty?*

Yes. Managing the loyalty of your customers is critical to growing the long-term, sustainable value of your company. Companies with more loyal customer bases tend to report better results in terms of profitability and stability. By focusing on customer loyalty management and increasing the percentage of truly loyal customers in your customer base, you should improve profitability, growth rate, and risk—all of the controllable variables contributing to the value of your company.

### **What other services does Walker offer?**

CLM is Walker's primary focus, however, Walker also provides many other services designed to help measure stakeholder relationships.

- **Walker Loyalty Reports** provide customer loyalty benchmarking information across key industries.
- **Face Value** helps companies realize the importance of CLM through a unique card game exercise.
- **Employee loyalty** programs help companies gauge the attitudes of their biggest asset—their employees.
- **Traditional research** capabilities include call centers, in-person research, field and tab research, and focus groups.

### *What is the difference between satisfaction and loyalty?*

Satisfaction only captures a company's ability to meet their customers' minimum requirements, and simply measures past experiences. Loyalty captures a customer's perceptions and attitudes about a company, including whether or not they intend to stay a customer. A customer can be satisfied with a company without being loyal. That is, meeting a customer's minimum requirements will not assure loyalty. Only working to build a strong relationship with the customer will help to improve loyalty.

### *How does Walker help my company measure CLM?*

Walker develops customized programs for each and every client, meaning you get exactly the information you need. Walker's online survey and reporting systems help you manage customer contact information, issue surveys, view results, flag at-risk accounts, create follow-up plans, and track issue resolutions.

### **What industries and clients does Walker serve?**

Walker is knowledgeable and provides expert analysis to companies in many industries.

Energy & Utilities	Sampex
Financial Services	B-Trade, The Hartford
Health Care	Anthem, Eli Lilly and Company, Gurdant, Ieva Pharmaceuticals, United Healthcare
Manufacturing & Retail	CDW, Lenscrafters, The Nalco Company, The Pepsi Bottling Group, W.W. Granger
Technology & Communications	Autodesk, Bell Canada, Gisco Systems, EMC, Network Associates

### **Walker Information**

Walker Information has been a pioneer in satisfaction and loyalty since the 1970s, focusing exclusively on measuring critical stakeholder relationships, particularly customer relationships. Using Walker's proprietary research tools, companies like yours can focus on the critical aspects that drive their relationships with their customers, employees, stakeholders, and communities. Walker is also the recipient of two national ethics awards—presented by the Society of Financial Service Professionals and the Council on Better Business Bureaus—for the way we have conducted business for clients and handled their sensitive and confidential business information.

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**WalkerInformation**   
Measuring Relationships  
That Matter

2000 Sterling Terrace  
Sellersburg, IN 47172

Phone (812) 246-2670  
E-mail jwc@insightbb.com

# Jennifer L. Wilcox

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## Professional Experience

January 2002-Present     *Jennifer Wilcox Consulting*  
**Owner**

Services include grant research, grant proposal preparation, strategic planning and research study preparation, management planning and consultation, meeting preparation and facilitation, marketing & public relations consultation, survey development and administration, financial and data analysis; have completed projects for the following business sectors – education, healthcare, workforce development, social services, construction, engineering, housing, aviation, religion.

August, 1999 – December 2001     *Rauch, Inc.*  
**Director of Development**

Duties included planning, implementing and evaluating proposal writing & administration, marketing and public relations, and fund development for non-profit organization with \$6+million budget; served on executive management team; supervised both projects and staff; played integral role in the organization's strategic planning and goal setting activities; conducted numerous meetings, training and presentations for agency and others; managed a donor database of approximately 2500 donors and prospects; helped to increase charitable giving to organization by 40%; planned and implemented successful special events for agency clients, personnel and the general public.

July, 1997 – July, 1999     *LifeSpring Mental Health Services*  
**Program Development Director**

Duties included developing and preparing grant proposals for all agency departments; training clinical and support staff to administer grants appropriately; fiscal and administrative management, negotiation and re-negotiation of all agency contracts; serving as member of Executive Management Team; working closely with various committees of Board of Directors to develop agency strategic plan and needs assessment; performing Marketing/Public Relations function in agency's six-county service area; education and preparation of agency and staff to pursue fund development opportunities; lobbying at state and local level with legislators and trade organizations.

May, 1993 – July, 1997     *Jeffersonville Department of Redevelopment*  
**Assistant Director/Director of Human Resources, 1996-1997**  
**Grants Management Specialist, May 1993-December 1995**

Duties included fiscal and administrative management of development agency responsible for \$3 million in ongoing projects; supervision of office staff; development of structure for new city department to address human resources; administration of Revolving Loan and Tax Abatement projects; implementation of all aspects of grant projects; coordination and presentation of information to the Jeffersonville Common Council and Redevelopment Commission; lobbying federal and state agencies for project assistance; recruiting and negotiating with prospective economic development investors.



**Professional and  
Community  
Activities**

Jeffersonville Rotary Club, 1996-2001; Secretary 2000-2001  
Clark County Youth Shelter & Family Services Board, 1997-2000  
Metro United Way of Clark County Comm. Inv. Team 1999-2001  
Leadership Southern Indiana, 1995-Present  
Zeta Tau Alpha Fraternity: 1989-Present  
Repair Affair Southern Indiana Coordinating Committee, 1995-2001  
Southern Indiana Transit Advisory Group, 1997-2001

**Education**

1996 – 1999 Webster University, Jeffersonville Metro Campus  
**M.A. in Management – Summa Cum Laude**

1989 – 1993 University of Evansville, Evansville, Indiana  
**B.A. w/ Honors, Political Science & French – Summa Cum Laude**  
▪ Named Outstanding Senior Student, 1993

**Other Education:**

Personal Effectiveness and Leadership Training – 1997  
Strategic Planning & Grant Writing Instruction – 1999-2001  
MUW Measuring Program Outcomes Course – 1999-2001  
NSFRE Indiana Fund Raising Day Workshop – 1998-2000  
IDOC Certified Grant Administrator (CFF and HDF) - 1994-Present  
Economic Development Finance & Real Estate Finance Courses – 1995  
IU School of Philanthropy Planned Giving Course- 2000

**References**

Available Upon Request

<b>EXTENT OF PROJECT EXPERIENCE – JENNIFER L. WILCOX</b>
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**Construction Project Administration:**

Riverside Drive Improvements Project  
Clark Maritime Infrastructure Projects  
North Port Economic Development Center  
Jeffersonville Boys and Girls Club  
Greenwood Revitalization Project

**Housing Development:**

Owner Occupied Rehabilitation Program  
CHDO Projects – NA and Jeffersonville

**Social Services Projects:**

Welfare to Work Special Demonstration Project Proposal Team  
Keys to Success Micro Loan Program Development & Administration  
HUD Continuum of Care Development Team

**Plans/Studies:**

Jeffersonville Downtown Master Plan  
Community Capacity Plan for Persons with Disabilities  
Evaluation Plan – Advanced Program GCCS  
LifeSpan Strategic Plan 2004-2006  
CFSI Women's Issues Study  
JHA Community Pool Feasibility Study

**Community Development Projects:**

Jeffersonville Revolving Loan Fund – Program Development & Administration  
Tax Abatement Request Review and Presentation

**Various Meeting Facilitation and Public Speaking Engagements**